

Andrew Carnegie

Carnegie
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Annual
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Carnegie Corporation of New York is a philanthropic foundation created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding among the people of the United States. Its charter was later amended to permit the use of funds for the same purposes in certain countries that are or were members of the British overseas Commonwealth. The Corporation's basic endowment was \$135 million; the market value of its assets was approximately \$1.7 billion as of September 30, 1999.

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Report
of the
President

The past two years have marked a turning point in Carnegie Corporation's programs in international affairs with the decision to support scholarly research and communication within Russia and other states of the former Soviet Union. Our motives stem both from deep concern for the future of this region, which has cast such a long shadow over the world's stage, and from the recognition that countries of the former Soviet Union (FSU) can contribute greatly to international peace and stability. Russia remains a great power even in its weakened state. Reaching across eleven time zones from Europe to Asia, with a vast arsenal of nuclear weapons, huge reserves of natural resources, and enormous intellectual capital, it can still influence the course of events abroad. We must do what we can, drawing on our experience in advancing education and scholarly understanding, to help Russia and her neighbors regain their bearings and evolve into mature democracies with respect for the rule of law.

Our new initiative, which we call the Higher Education in the Former Soviet Union (HEFSU) program, is aimed primarily at rejuvenating scholarship in the newly independent states, particularly the social sciences and humanities — fields that have been comparatively neglected by Western donors in their empha-

sis on the natural sciences. The core of the program will be the establishment of Centers for Advanced Study and Education in selected universities throughout the region. In Russia the centers will be organized in cooperation with the Washington, D.C.-based Kennan Institute for Advanced Russian Studies and the Moscow Public Science Foundation, the leading Russian organization concerned with the reform of higher education in the post-Soviet era. As presently conceived, these centers will serve as umbrellas for advanced interdisciplinary research; they will create new opportunities for research at traditionally teaching-oriented universities; and they will increase mobility, collegiality, and the cross-fertilization of ideas among faculty members, researchers, and intellectuals nationwide, who are today by and large isolated and inadequately supported.

HEFSU will augment our

Strengthening Scholarship and Research in the Former Soviet Union

NOTE: Substantial grants in this area have also been made over the past two years to the Basic Research in Higher Education Program of the U.S. Civilian Research & Development Foundation, the Eurasia Foundation, and the International Research and Exchanges Board for programs in the natural and social science fields in the FSU. Complementing these projects are Corporation-supported awards to humanities scholars in the successor states administered by the American Council of Learned Societies. (See the Report on Program for further information.)

ong-standing programs to improve U.S. scholarly, scientific, and public understanding of, and relationship with, the Soviet Union and its successor states. From the early 1980s on, we have funded not only independent policy-related research and scholarly communication in the United States but exchanges with Soviet/Russian counterparts in trying to resolve major Cold War issues. The new thrust proceeds from the view that a private foundation such as ours, with a strong record of grantmaking on behalf of world peace and security, can do no better for our country than to encourage the growth of humanistic education, study, and practice in an area undergoing a wholesale political and economic transformation.

After the collapse of the Soviet Union in 1991, the knowledge community and the institutions that supported it suffered dramatic reversals. Untethered from central political and administrative control and from an ideology that, for better or worse, had given it purpose and direction, the higher education system and the research institutes of the newly independent states faltered. What was formerly an intellectual and scientific force to be reckoned with was thrown into disarray. Institutions of higher learning were facing drastic budget cuts; scientists and scholars, seeing their incomes and prospects wither away, were abandoning their professions or seeking opportunities outside the country; the underpinnings of scientific and humanities study were rapidly eroding. In short, this once far-reaching empire, for centuries at the center of history's greatest dramas and now dissolved from within, was in danger of losing its best and brightest for national reconstruction and the development of a democracy and civil society.

In the transition, Western governments, multinational organizations, and private foundations have attempted to stem the losses, financing academic exchange programs and scholarships and awards, forming various kinds of partnerships with national and regional universities and academy institutes, or

creating new educational institutions, some attempting to forge a closer link between research and teaching. All parties involved have been imbued with the desire to revitalize an intelligentsia that over time has played a vital role in the development of Russian and non-Russian culture, science, and scholarship and in the process immeasurably enriched world civilization. If, in the past century, this element was at the helm of the Russian revolution, it was also pivotal in the liberalization of the Soviet Union, leading ultimately to the demise of Communist rule. We on the Corporation's board and staff believe we must, within the compass of our charter and emphasis on education, help to conserve this extraordinary heritage. We must, furthermore, seek ways to nurture a rising generation of thinkers and leaders who can give voice to the values of orderly democratic change.

CARNEGIE CORPORATION AND THE GROWTH OF RUSSIAN STUDIES

Like so many other interests of Carnegie Corporation, the field of international affairs was close to the heart of Andrew Carnegie himself. The Peace Palace at The Hague, the International Court of Justice in Costa Rica, the Pan American building in Washington, and the creation of the Carnegie Endowment for International Peace all testify to Carnegie's lifelong quest for the keys to enduring world peace. The inexorable buildup to World War I in the first decade of the twentieth century kept Carnegie in a high state of agitation in his advancing years. A reluctant conscript to the organized peace movement, he preferred to go his own way, pursuing behind-the-scenes talks with those in power and convening any number of international peace conferences in Europe. He fought militarism with every ounce of energy he could muster in his diminutive frame and even launched a somewhat vainglorious correspondence with Kaiser Wilhelm II to tamp down the saber rattling and war mongering—to no avail. Carnegie died in 1919 despondent over Europe's and America's failure to prevent war, although he derived satisfaction from his role in promoting a League of Nations as a means

for preventing future wars. Had he lived, he would have been sorely grieved to see another and still worse global conflict breaking out twenty years later, with its protracted and terrible aftermath in the Cold War.

The Corporation's past activities in international affairs were tied to our central interest in the improvement of higher education in the United States, although in the early years our grantmaking was weighted toward the Carnegie Endowment. More than any other event, the Second World War brought home the gravity of the United States' international responsibilities and how uninformed were the American people and their leaders about affairs beyond their borders, in particular about our looming adversary, the Soviet Union. In the late 1940s the foundation sought ways that research, training, and scholarly communication could enhance our understanding of little known but strategically important places in the world, in the belief that many of our gravest problems are unsolved simply because we do not know enough. To our way of thinking, national and international security depended ultimately on having the knowledge to act wisely in our self-interest and that of our allies. Yet the times found few venues where scholars could collaborate on questions of mutual concern. Most of those working in a foreign area were conducting their research in isolation, unmindful of insights gleaned from outside their own fields. Shortly after the war, therefore, the Corporation explored a new avenue of grantmaking in foreign area study, establishing centers at major universities to draw together relevant knowledge and research across the disciplines in order to take a more comprehensive look at countries or areas.

Until the end of the Second World War, American scholarship on the Soviet Union was sparse. While serious interest in Russia (and Eastern Europe) had been undertaken as far back as the nineteenth century, by 1914 Russian language and literature were being taught at only three major universities and Russian history at only two. Between the two world wars, little more than a dozen Americans possessed the scholarly skills and credentials to study this region. Even though Russia's expansionist dreams predated Bolshevik

ambitions by centuries, the volume of U.S. research on the country and its satellite states was negligible. Nor was there any United States research center carrying on extensive, long-term research on Soviet behavior, culture, and society. Astoundingly, at war's end in 1945, only one leading university center was concerned with the Soviet Union — the Russian Institute at Columbia University — and it was devoted primarily to graduate education rather than research. There was "literally," as Corporation documents reveal, "no qualified group of any substantial consequence working on the fundamental problems of Soviet domestic and international conduct."

Carnegie Corporation's president John W. Gardner and the program staff agreed that continued ignorance of this burgeoning superpower could be ill-afforded by the leading nation of the "free world." Discussions with policymakers in Washington, with business leaders, and with members of the academic establishment supported the notion that independent research in depth on the Soviet Union was badly needed and would be welcomed. After making a careful survey of universities that might be capable of undertaking major research responsibilities in the Russian field, the foundation chose Harvard University because of its willingness to make the best use of the social sciences and social psychology in understanding Russian behavior, going beyond the current emphasis on history and languages. This, in Gardner's view, exemplified the "new approach to area studies." The first grant to Harvard in 1947 was for a feasibility study, followed in 1948 with full-fledged support to establish the Russian Research Center. Within a few years the new center emerged as a major source of interdisciplinary activities relating to the Soviet Union and Eastern Europe and served to stimulate more research of the kind elsewhere. By 1956 the Corporation had given well over \$1.5 million to the center, an impressive commitment at that time. This and other foreign area study centers made possible or co-funded by the Corporation filled a reservoir of knowledge for the upper

reaches of government and attracted talented young scholars and students into the field. The centers, in the view of knowledgeable observers, infused Russian studies with new disciplinary rigor and methodological competence.

The successful Soviet launching of Sputnik in 1957 gave further impetus to the growth of Soviet and East European studies in the United States. Through 1962 the Corporation provided grants to Dartmouth College for its program in Russian studies; Massachusetts Institute of Technology for a study of Soviet scientific and engineering education; Columbia University and MIT for studies, respectively, of Soviet higher education and public education; Duke University for research on Soviet international law doctrine; and Columbia for travel grants enabling Russian specialists in the U.S. to visit the Soviet Union. Numerous grants were also made for foreign language teaching and language study programs abroad, some of which stressed Russian.

By the early 1960s, however, aside from its programs in Commonwealth Africa, the Corporation began to close out its grants in international affairs, largely in response to mounting demands for equal justice and equal opportunity among disadvantaged groups at home. As new causes dominated foundation thinking during the 1970s and early 1980s, private support for Soviet and East European studies declined overall. The Ford Foundation's own allocations for international studies, which had surpassed \$47 million in 1966, were a mere \$2.2 million in 1979. Government grants and contracts for such research also waned and in any case tended to reflect the government agenda. Much of the work being carried out during this time was of marginal significance to policy development. The competence of Washington analysts to understand and interpret Soviet affairs was increasingly brought into question.

Nearly fifteen years passed before the Corporation, at the urging of its new president David A. Hamburg, once again moved the Soviet Union to the forefront of foundation thinking. By 1982, U.S.-Soviet relations had reached a dangerous standoff, with each

side having the capacity to wage large-scale nuclear war and each riven by intense fear and mistrust of the other. The military-technological competition was spurring expensive new nuclear arms production on both sides, paradoxically leaving each less secure rather than more. Fears of a nuclear war seemed well founded. Surely there had to be some alternative to the policy of deterrence based on mutually assured destruction.

In this situation, the Corporation decided to launch an all-out effort to gear up independent research, policy analysis, and dissemination among scientists and leading members of the policy community, aimed at reducing East-West tensions and in the long run at improving the superpower relationship (at this time an almost inconceivable prospect). Even though area studies had lost some of their vitality, there still existed in the major research universities such as Columbia, Harvard, Stanford, and the University of California a cadre of outstanding specialists on Soviet society and politics. First-rate nonpartisan research was also being conducted in nongovernmental organizations like the Brookings Institution, the RAND Corporation, and the Kennan Institute, established at the Woodrow Wilson International Center for Scholars by Ambassador George F. Kennan in 1974. The International Research and Exchanges Board since 1968 had been promoting Soviet-American scholarly exchanges and joint research between United States and Soviet bloc countries. Scientific organizations such as the National Academy of Sciences, the American Association for the Advancement of Science, and the American Physical Society were sponsoring valuable policy-related research and communication on strategic arms control, nuclear proliferation, missile defense, and related matters. Several prominent organizations were also engaged in government monitoring and public education on the issues. The Corporation turned to these agents and others, giving priority to ways that the scientific and policy research communities — on both sides — could contribute to nuclear risk reduction and confidence-building; it additionally financed activities to alert the press and the public to the realities of

the nuclear danger, the possible pathways to war, and the consequences of using the weapons.

The election of Mikhail S. Gorbachev as general secretary of the Soviet Union in 1985 ushered in an unprecedented era of “glasnost” (openness) and “perestroika” (restructuring) in Soviet society, but it also set in train events that culminated, in 1991, in the attempted coup against Gorbachev by hard-liners and the dissolution of the Soviet Union into independent states, with Boris N. Yeltsin emerging as president of the Russian Federation. The loss of Moscow’s authority over the successor states ironically brought with it new anxieties, especially with respect to the disposition of the nuclear weapons and other instruments of mass destruction, but also concerning the potential of ethnic strife to spill over borders or give rise to particularly lethal forms of terrorism. There were ominous signs that even the Russian Federation might fragment into autonomous republics, further weakening control of weapons materials and heightening international instability and insecurity. Russia, the fearsome ideological adversary of established democracies for almost a century (except when they were allies during World War II) desperately needed the assistance of the capitalist West in coming to grips with the complexities of democratization, transitioning to a market economy, decentralization, denuclearization, military conversion, and education and training shorn of Marxist-Leninist ideology. These challenges now became the context for Corporation grantmaking to analyze and promote forms of cooperative engagement between the U.S. and FSU states. One notable outcome of the fact-gathering and analytical work of nongovernmental scholars and scientists financed by the Corporation was the Nunn-Lugar Soviet Nuclear Threat Reduction Act of 1991, since renewed, aimed at helping the FSU dismantle and safeguard its nuclear weapons, warheads, and materials.

A crisis in the making was the prospective brain drain of the FSU’s scientific and technical talent to so-called “rogue” nations, to other regions where such expertise would be better remunerated, or internally to jobs unrelated to their academic fields. Clearly, it was

in the interests of the United States to help Russia and the other post-Soviet states preserve their basic science capability, not only to protect military-related knowledge, but to direct indigenous scientists and scholars toward the economic and cultural revitalization of their countries. U.S. and European donors, including the Open Society Institute, the John D. and Catherine T. MacArthur Foundation, the Ford Foundation, the Eurasia Foundation, and our own foundation, have sought to address these problems, often working in partnership with governments and institutions of the successor states.

Understandably, priority attention was given to the fate of the scientists and engineers formerly employed in the vast military-industrial complex of the FSU. Private and governmental sources joined in fostering research collaboration by U.S. and European scientists with their counterparts in Russia and elsewhere, the immediate aim being to retain them in their home countries for work on defense conversion and nonmilitary-related projects to strengthen the civilian economies. In this early phase, however, less prominence was given to the condition of the humanities and certain of the social sciences, as the importance of these fields to nation building and international security was less clear.

THE STATE OF UNIVERSITY-BASED SCIENCE AND HUMANITIES SCHOLARSHIP IN THE FSU

In Soviet times all educational institutions were fully financed by the central government; there was no system of private education like that in the United States; education was free for all. The majority of outstanding university students went to the best institutions in a few very large cities, like Moscow or Leningrad (St. Petersburg). Most young people were expected to choose their career paths early and take a prescribed set of courses leading to their specialty; there was no tradition of liberal education in the arts and sciences or the possibility of elective courses.

Higher education in the former Soviet Union has differed from that in America or Europe mainly by its emphasis on research as the central mission of the academy institutes, such as the Russian Academy of Sciences, and on teaching as the province of the universities. Some mix of the two is beginning to emerge in universities such as Moscow State and St. Petersburg State, but, overall, universities in the FSU have never been strong in basic research. In 1997, only 8.5 percent of all researchers in all fields in Russia with doctoral degrees were in universities, according to a recent article in *Science* magazine. With all the financial pressures upon institutions, the teaching load for most university professors is heavier, leaving them very little time for research.

While institutions of higher learning in the FSU have been largely freed from control by their respective governments, the drastic decline of federal support for universities, university researchers, and graduate students, not to mention researchers in academy institutes, has devastated the infrastructure for science and engineering and indeed for nearly all specialties in the post-Soviet period. Tuition fees have been introduced in many institutions, and the ability to pay is beginning to have more influence than talent in determining a student's academic future. In the early 1980s, as *Science* has reported, the Soviet Union had the largest community of scientists and engineers on earth, larger than that in the United States. Today, dramatically reduced research budgets have spelled the departure or dismissal of more than half of all Russian scientists and engineers active in 1990. Less than one-third of Russians with a science or engineering education are now at work in their specialties.

Local reformers and academic entrepreneurs have succeeded in pulling some of their institutions into the new era, although few anticipated the deepening financial and administrative crises at all levels of education. A wide range of programs, some designed and financed by Western organizations, to rebuild higher

education, to create private nongovernmental colleges and universities in Russia and elsewhere, or to support individual scholars has certainly yielded important benefits. Between 1993 and 1997, according to *Science*, the number of higher education institutions in Russia increased by 40 percent to 880, 302 of them nongovernmental. Hundreds of professors whose salaries would have been cut drastically or their opportunities for advancement blocked have received generous teaching appointments as well as grants and awards.

But individualizing opportunities does not address the structural problems of institutions, and institutional strategies often require open-ended support from outside donors. The new nongovernmental institutions tend to benefit only those fortunate enough to be associated with them. Most emphasize teaching in the areas now popular with students in Russia and elsewhere in the FSU, such as management, law, and economics, international relations, psychology, religion, and journalism. While they may introduce more pluralism and choice into Russia's system of higher education, their facilities in the natural sciences tend to be very weak. Some newly created institutions are attempting to integrate research and teaching and are attracting progressive scholars and students. But they, too, benefit only a few scholars at a time and are negatively perceived by some as "Western." Existing institutions, on the other hand, are still many of them hampered by Soviet-style bureaucracy.

Nevertheless, the Russian government is prompting more integration of teaching and research and has attracted support from foreign foundations to help achieve this goal. One important innovation is the government-financed Russian Foundation for Basic Research (RFBR), roughly equivalent to the U.S. National Science Foundation. Between 1994 and 1997 the RFBR gave financial assistance to Russian scientists totaling more than \$122 million, considerably overmatching the financier George Soros' grants of approximately \$65 million offered in that period through the International Science Foundation. The RFBR, however, provides considerably less money to

university than to academy researchers, who are thought to conduct the best science. The Russian science ministry is attempting to bridge the structural divisions in a program called Integration, which spent \$32 million in 1998 promoting collaborations between researchers in the academy institutes and professors and students at universities.

Another promising avenue for revitalization is the BRHE program of the U.S. Civilian Research & Development Foundation, based in Arlington, Virginia. Under this program, high-quality "research and education centers" are being established at selected Russian universities, with the aim of strengthening their capabilities in basic research in the natural sciences. Like some other foreign-supported academic ventures, the BRHE program is stressing the bond between research and teaching. Financed by the MacArthur Foundation, Carnegie Corporation, the Russian Ministry of Education, and Russian regional resources, the first three grants of \$3 million each were awarded in September 1999 to the Far Eastern State University in Vladivostok; Krasnoyarsk State University in Siberia; and Rostov State University, Kuban State University, and Taganrog State University of Radioengineering in southwestern Russia for a joint program. (A demonstration Research and Education Center for Scanning Probe Microscopy at Nizhny Novgorod State University is in its second year.) The U.S. foundations' share covers one-half of the program costs for new instruments and equipment as well as for teaching and research stipends (as experience has shown, the adequacy of equipment is as vital to the success of an innovation as salaries).

If there are growing complaints that the natural sciences are much less popular in Russia than formerly, the social sciences and humanities in traditional institutions have not fared so well either. Many individual scholars are facing debilitating barriers to the pursuit of their professions. As reported by Blair Ruble, director of the Kennan Institute, and his colleagues Susan Bronson and Nancy Popson in a needs assessment conducted for the Corporation and the MacArthur Foundation in 1998, professors and scholars in the

provincial universities of Russia and in other independent states are finding it harder to access libraries and archival repositories, government documents, manuscripts, and cultural artifacts. Archives are having to charge fees to survive, or they have closed down altogether. Libraries are struggling to preserve books at a time when they are wondering how to catch up to advances made in digital equipment and databases. Journals and academic publishers have had to pull back. Furthermore, as transportation and communication costs have risen, collegial interaction among institutions and scholars — the life blood of academia — has lessened, and access to the Internet is far from universal. With university professors' salaries ranging anywhere from \$50 to \$200 a month in Russia and the other former Soviet states, it is little wonder that many university researchers are turning to more lucrative enterprises. One result is that younger scholars are without mentors, who have either left the field or are otherwise unavailable. Even dedicated younger intellectuals are without critical support and guidance.

Some aspects of the social sciences have fared better than the humanities. As former belief systems have collapsed, historians are coming to terms with the distortions introduced during the Soviet regime; political science is emerging as a new discipline, and some subfields, such as opinion polling, have taken on a new life. Humanities fields, however, have been perceived as less directly integral to the reform process. Many smaller fields in which Soviet scholars have always performed at world-class level, such as Sanskritology and iconography and some subfields of philology, are shrinking. Internationally respected Byzantinists, Sinologists, and medievalists languish for lack of funding (although these fields are beginning to attract students again).

The demise of Marxist-Leninist ideology and the search for a reasserted Russian identity have led many of Russia's intellectual and political leaders to call for the renewal of the humanities in the Russian education

system. But while the hold of the old creed over education has been broken, a satisfactory substitute has yet to develop. Whatever the outcome, it will have profound consequences for the future. Many scholars see an urgent need to find cultural expressions of national identity that affirm rather than repress diversity and that go beyond old ideologies and dogmas to find a respected place for each social group within a country and for each country and region in the global society. There can scarcely be a greater challenge to the intelligentsia and to the humanities than this.

Renewal of the humanities and the related social sciences includes the question of who will teach the new material once it is introduced. Reform over the long term will depend on a new generation of teachers, working in countless institutions from local primary and secondary schools to the great national centers of higher education. Of special interest is the Russian National Humanities University, a public institution with headquarters just off Red Square. Founded in the post-Soviet era through the energetic entrepreneurship of Yuri Afanasiev, a medieval historian, the university is working to develop a new cadre of teachers for Russia and for the other FSU nations as well.

With \$1 million from Carnegie Corporation's 21st Century Fund, the American Council of Learned Societies (ACLS), a longtime U.S. academic contact for Soviet and subsequently FSU scholars, in 1998 organized a grants competition to support leadership in the humanities in the region. The foremost objective was to sustain mid-career scholars with short-term project support at a time when the economies of Russia and other post-Soviet states had nose-dived, the ruble had lost almost two-thirds of its value against the dollar in three months, and research budgets were shaved to razor-thin levels. Concentrated on Russia, Ukraine, and Belarus, applications were solicited by "grants-consultants" in these three countries who conducted personal interviews with the candidates in their home institutions. Emphasis was on diversity of location, language, discipline, and type of project. Forty-five

awards of \$4,000 each were made in 1998; a further fifty-five were made in 1999. This past year the Corporation's grant was renewed to permit seventy more awards, with the additional objectives of promoting networking among the scholars and providing publication support for previous recipients. The aim is to assure the healthy development of the scholarly community and continued leadership in humanities fields, covering history, art history and theory, philosophy, archeology, literature and linguistics, film studies, cultural studies, study of the visual and performing arts, and gender studies.

As previously noted, awards such as these help scholars in immediate need and serve to retain them in the professions; and they promote ongoing research on critical topics. But they may not of themselves bring about enduring change; nor will structural reforms succeed until and unless the innovations become self-supporting. We at the Corporation have therefore been exploring a middle course between the individual and the institution — one that embraces elements of both and that, we believe, has the potential for rebuilding professional life, overcoming academic isolation, sustaining intellectual communities, and erecting a supportive structure for "the invisible university."

THE CENTERS FOR ADVANCED STUDY AND EDUCATION

Following the initial grant to the ACLS, the Corporation began exploring the feasibility of organizing a more ambitious program to strengthen higher education in the former Soviet Union, concentrating on the humanities and social sciences — fields that, as pointed out, stand to be essential players in the societal transformations under way. The operational questions were, what can we do more broadly to preserve and strengthen the capacity of scholars and their academic institutions to conduct independent research in the humanities and social sciences, to engage in the exchange of ideas with colleagues both domestically and internationally, and to render advice and service on behalf of their country?

One of the issues confronting higher education in the successor states is the extreme disparity that still exists in the capacity for research and analysis between institutions in the capital cities and the rest of the country, giving rise to debates among donors as to the best course of action. Historically the elite national institutions have attracted the most able students from the provinces. Most students today, however, cannot afford to study far from their homes. One effect of this change is that the quality of the students in outlying universities is rising as those who would formerly have gone to Moscow are seeking advanced education close by. If this trend continues, it will intensify pressure on these institutions to upgrade their offerings, facilities, libraries, equipment, and staffing in order to compete for the higher-caliber student. More and more, provincial universities, cut loose from political control but also the certitude of money flows, will have to seek their own destiny. These considerations have been important in finding investment in institutions outside Moscow and St. Petersburg an attractive proposition for the Corporation.

In the Kennan Institute's needs assessment for the MacArthur Foundation and the Corporation, the authors were asked to review existing programs of reform and to provide a conceptual framework for a new program to stimulate intellectual and creative vitality in the region. During 1999, the Corporation's staff conducted its own investigation, making site visits to FSU institutions and benefiting greatly from the insights and advice of the Open Society Institute, the MacArthur Foundation, and the Ford Foundation — philanthropies experienced in promoting science, scholarship, and higher education reform in the FSU. The Moscow Public Science Foundation, established in 1991 with Western foundation, multinational, and Russian support and led by the political scientist Andrei V. Kortunov, also provided invaluable assistance to the Corporation in thinking through alternative modes for programmatic intervention.

The Kennan Institute's report argued emphatically for a middle ground strategy for rebuilding professional life as the most sensible point of entry. The

idea as it has developed is to strengthen an institution's capacity to rejuvenate from within, by forming "centers of excellence" that can serve as a hub for promoting advanced interdisciplinary research, professional training, and networking among FSU scholars in the social sciences and humanities. Fellows will be drawn not only from the host university but from universities and institutes across the country. They will receive grants for team research and take part in a plethora of networking and mentoring activities, including seminars, conferences, summer school, and collaborative research with foreign scholars. Library and publication support will also be provided.

The interactions thus fostered, it is argued, will stimulate interdisciplinary research projects among area scholars, attract further support to the social science and humanities fields, and lead to institutional and intellectual renewal nationwide. The scheme will also encourage closer relations between senior scholars and young students, a particular strength of the American university system that has not been characteristic of the Russian academy institutes.

The Corporation in adopting this strategy has invited the Moscow Public Science Foundation to act as co-partner with the Kennan Institute in implementing the prospective program to establish the new Centers for Advanced Study and Education (CASEs).

Targeted will be major state universities spread across the Russian Federation and other post-Soviet states that already have strong reputations, outstanding faculties, and a reform-oriented rector likely to be receptive to the idea. In the fall of 1999, Corporation staff members, together with Andrei Kortunov and several other advisors, visited universities in Krasnodar and Rostov in Russia's south; Yekaterinburg and Izhevsk in the Ural region; Saratov in the Volga region; and Tomsk in Western Siberia to sound them out. All these institutions are experiencing significant hardships, though most have come through the Soviet

period and its aftershocks maintaining a creditable level of teaching and scholarly excellence. Another set of site visits to Russian regional universities will be made in the spring and summer of 2000. Based on the conversations we have held with our Russian colleagues and their favorable responses, we have asked the Moscow Public Science Foundation and the Kennan Institute to assist us in establishing the first three centers at universities in the Russian Federation, chosen on a competitive basis among solicited proposals. If all goes well, as many as twelve such CASEs may be supported within the next few years — six in the Russian Federation and six in other post-Soviet states. Meanwhile, additional funding for the program will be sought from the Russian Ministry of Higher and Professional Education and from other American foundations. The Open Society Institute has earmarked funds to support curricular development and Internet-related activities in the host institutions.

The Corporation's grants toward the Soviet Union, and Russia in particular, go back many years. Establishing university centers for interdisciplinary area studies, network building, and scholarly communication is not new to the foundation. What is new is the addition of the humanities into the mix of disciplinary interests that we support — that and our decision to make grants for higher education reform *within* the former Soviet Union, operating through U.S. institutions. The shift follows the simple logic of our international programs, which have evolved from an almost exclusive focus on strengthening U.S. social science expertise on Russia and Eastern Europe, to a program linking the social sciences and hard sciences in an effort to reduce the dangers of nuclear war and nuclear proliferation, to an emphasis on cooperative engagement with Soviet and especially Russian counterparts, to the current thrust toward building scholarly capacity in FSU institutions. The latter is hitherto unknown territory for us. Fortunately, we have experienced part-

ners, a wise group of advisors, a solid professional staff, the support of a strong board, and a history of making effective use of private funds for the public good. The stakes are high, the risks are great, but the opportunities are immensely exciting and the outcome potentially groundbreaking. We will report back.



President

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CARNEGIE CORPORATION OF NEW YORK

Report on
Program

In 1998–99 the Corporation began making grants in its four new program areas. The programs, developed under the leadership of Vartan Gregorian, president of the Corporation, and approved by the Board of Trustees in October 1998, are *Education, International Peace and Security, International Development, and Democracy*. (*Special Projects*, a continuing area of operation, remains a vehicle for making grants in fields that may fall outside or cut across a number of the Corporation's major program concerns.)

These new areas of interest emerged after a 1997–98 in-depth review of the effectiveness of the Corporation's grantmaking activities, both past and present. As Gregorian noted in his presentation to the board on the evolution of the Corporation's commitments, the new programs "maintain a balance between continuity and change; they correspond with our historical mission and legacy while serving as a catalyst for change in the next century." Andrew Carnegie, in his first letter of gift to the Corporation, made clear his wish for a foundation that could transform its focus to meet new challenges in a rapidly changing world: "I give my Trustees full authority to change policy or causes hitherto aided, from time to time, when this, in their opinion, has become necessary or desirable. They shall best conform to my wishes by using their own judgement."

Descriptions of each program and its supported

projects appear on pp. 25 through 65. Discretionary grants of \$25,000 or less are on pp. 32, 42, 50, and 63. Listings of selected publications and nonprint materials resulting from grants and appropriations may be found on pp. 66 through 69.

The Corporation's fiscal year is October 1 to September 30. Its capital fund, originally donated at a value of about \$135 million, had a market value of \$1.7 billion as of September 30, 1999. Under Gregorian, emphasis has been placed on active stewardship that will grow the capital fund aggressively in order to increase the Corporation's funding potential. The Corporation budgeted \$59 million for grants and appropriations in 1999. For the year 2000 the grants and appropriations budget is \$65 million.

In 1998–99, the Corporation made one hundred and seventy-six grants and nine appropriations for projects administered by the officers, totaling \$55,802,792. Thirty grants were made to seventeen colleges and universities; one hundred forty-six went to one hundred thirty-one other institutions.

To promote charitable giving among its employees and trustees, the Corporation established a matching gifts program in 1998. Under the program, the Corporation matches employees' cash contributions to qualified charities up to \$250 per calendar year on a 2:1 basis. In its first year of operation, 1998–99, the program expended \$71,280 in matching gifts.

Grants and Appropriations

Education

Carnegie Corporation will dedicate a major part of its grant funds over the next few years to education reform, beginning with early childhood education and extending to college-level education. The program will focus on three key areas: early childhood education and care; urban school reform; and higher education.

Early Childhood Education and Care. Despite evidence from research on the importance of early learning for later school success, millions of children enter school without the benefit of important experience in language, numeracy, and social development. Furthermore, many children fail to master these basic skills by the end of the third grade.

The Corporation intends to stimulate the research, policy analysis, and public education needed to advance children's access to high-quality early education. Emphasis in grantmaking will be on financing, professional development, and consumer demand. In addition, the Corporation is exploring effective approaches for linking early childhood education, literacy development, and improved instruction in the early grades.

Urban School Reform. The Corporation is pursuing several avenues for intensifying reforms in urban school districts. Approaches include analyses of progress and barriers to change in a number of cities; identification and dissemination of effective district practices; assistance for local school change; the institution of accountability mechanisms; and mobilization of public support.

The Corporation will also support analyses of the patterns of recruitment and training of urban school principals and superintendents and seek better models of preparation to meet the dramatically changing nature of their roles. Finally, the foundation will work

to enhance the quality of after-school and extended-service programs that promote academic achievement, particularly in urban areas.

Higher Education. Teacher Education. Today there is broad agreement that teachers entering public schools must have better preparation in subject matter, an understanding of research-based approaches to the teaching of reading, knowledge of child and adolescent development, proficiency with technology, and more extended clinical training and supervision.

The Corporation's program will concentrate on dissemination of the best models of teacher education; assistance to governors and other state policymakers in developing incentives and accountability mechanisms to promote more widespread change; and promoting broader public understanding of the importance of teaching quality.

Liberal Arts Education. The nation's colleges and universities are facing a number of critically important questions. Key among these is how the undergraduate experience should be redefined to help prepare students for success in the contemporary economic and social context. How might the undergraduate curriculum, which has moved toward a bifurcation of liberal arts and science and professional training, foster a more integrated approach? The Corporation is exploring the most effective ways to address these and other questions about undergraduate liberal education.

(See the cross-program initiative on Higher Education in the Former Soviet Union on p. 33.)

Carnegie Corporation of New York, New York, NY. Technical assistance to the Starting Points State and Community Partnerships for Young Children. Appropriation administered by the officers of the Corporation. One year, \$684,000.

The Starting Points State and Community Partnerships for Young Children, a program of grants to seven states and four cities, was established in 1996 to plan and implement the reforms called for by the Corporation's 1994 report, *Starting Points*. The initiative is designed to stimulate the development of programs and policies that benefit families with young children, especially disadvantaged children, and to educate policymakers, parents, and the public about the importance of the first few years of life in shaping children's healthy growth and development. The grants, matched or exceeded by private sector and government funds, are aimed at improving the quality and expanding the availability of child care, prenatal and children's health care, and family support programs.

The Corporation has contracted with the Finance Project in Washington, D.C., to coordinate technical assistance to the grantees, assist in strategic planning, hold annual conferences, and manage the initiative's day-to-day operations and communications. The project is now collaborating with other organizations to disseminate and replicate model programs and policies developed by the grantees. To sustain national attention to the needs of young children, Corporation staff members manage a related program of grants to policy, business, and research groups, and disseminate information about the initiative to business and foundation leaders, governors, and state legislators. They are also working with a team of experts in research, evaluation, policy reform, and communications, led by the National Center for Children in Poverty and Philliber Associates, to conduct an independent, cross-site analysis of the initiative.

Michael H. Levine, Deputy Chair and Senior Program Officer. (www.carnegie.org)

Columbia University, New York, NY. Research and analysis of state program and policy initiatives that promote young children's healthy development and school readiness. Two years, \$750,000.

The National Center for Children in Poverty, based at Columbia University's School of Public Health, promotes strategies to reduce the number of children under the age of six living in poverty in the United States and to lessen the effects of poverty on this age group. The 1998 edition of *Map and Track*, the center's national inventory of programs and policies for young children, examined state efforts to link welfare reforms with initiatives concerning families and young children. The 2000 edition will analyze successful strategies to promote early learning among preschool children. The center is also producing a cross-site analysis and publications on the innovations being tested under the Corporation's Starting Points grants initiative.

J. Lawrence Aber, Director, National Center for Children in Poverty. (http://cpmcnet.columbia.edu/dept/nccp)

Families and Work Institute, New York, NY. Project to develop business, media, and family leadership on meeting the needs of young children. Two years, \$400,000.

In 1996 the Reiner Foundation and the Families and Work Institute launched a national campaign to increase public understanding of the importance of the early years in laying a foundation for lifelong health and learning. The campaign has produced educational resource materials, action guides, and a prime-time television program and videotapes by Rob Reiner and leading child development experts. This grant is enabling institute staff members to distribute neuroscientific and child development research reports to policymakers, community planners, and journalists; collaborate with the business community on strengthening corporate involvement in early childhood programs and policies; and commission an independent evaluation of the campaign.

Ellen Galinsky, President. (www.familiesandwork.org)

National Governors' Association Center for Best Practices (NGA), Washington, DC. Assistance to states in implementing policies that promote young children's healthy development and school readiness. Fifteen months, \$200,000.

Starting Points, the Corporation's 1994 report, called for reforms in child care, children's health, and family supports. To direct national attention to the report's recommendations, NGA has held briefings on neuroscientific research concerning early brain development and prepared best practice guides highlighting innovations in the early childhood field. NGA is launching a bipartisan early childhood leadership group to promote continued involvement by the nation's governors in these issues. Under this grant, the group will distribute information on sustaining early childhood reforms developed by states and cities in the Corporation's grants program, Starting Points State and Community Partnerships for Young Children.

Evelyn Ganzglass, Director, Employment and Social Services Policy Studies. (www.nga.org/CBP)

National Head Start Association, Alexandria, VA. Early literacy teacher training project utilizing distance learning technology. Two years, \$500,000.

The National Head Start Association is developing a model training and distance learning initiative to promote young children's literacy skills. The model, to be pilot-tested in two states, offers literacy training to Head Start, preschool, and child care teachers. The training will feature satellite technology, partnerships with local colleges and universities, and on-site assistance. Several of the nation's preeminent literacy experts are helping to develop the training curriculum. The Council for Early Childhood Professional Recognition, a key credentialing entity, and Resources and Instruction for Staff Excellence, a distance learning and training organization, are also collaborators on the initiative.

Sarah M. Greene, Chief Executive Officer. (www.nhsa.org)

WGBH Educational Foundation, Boston, MA. Production and educational outreach for a public television series to promote young children's literacy skills. Eighteen months, \$1,000,000.

Building on research that documents the impact of educational television viewing on early learning, WGBH Public Television and Sirius Thinking are producing *Between the Lions*, a one-half hour daily program devoted to teaching children to read and write. Set in a public library and featuring a family of lions and other animal and human characters, the show targets children ages four to seven, their parents, and their teachers. Public television stations will premiere the series in spring 2000. Through an outreach and public awareness campaign about the importance of early literacy, the program's creative and educational components will be used to forge alliances between literacy and library organizations, early childhood professional associations, and curriculum and textbook companies.

Judith Stoia, Series Executive Director. (www.wgbh.org)

Children's Defense Fund (CDF), Washington, DC. Support (final). Three years, \$700,000.

CDF was established in 1973 to advocate for better treatment of the nation's children, particularly for children of color, poor children, and disabled children. It educates federal and state policymakers and the general public about the needs of children and encourages the development of policies that support the health and well-being of families. In addition to its work at the federal level, CDF conducts many of its activities in the ten states where the largest number of poor children and children of color live. Major attention is devoted to increasing families' access to high-quality early childhood education and child care, expanding the number of children covered by health insurance, and engaging the efforts of the black community in CDF's work on behalf of children.

Marian Wright Edelman, President. (www.childrensdefense.org)

New American Schools (NAS), Arlington, VA. Assistance to school districts in implementing comprehensive school reform to improve the academic performance of disadvantaged children. Two years, \$1,500,000.

NAS was established in 1991 to develop, fund, and implement comprehensive school reforms nationwide. Its research-based designs for school improvement align curriculum, professional development, school organization, and financial and technological resources. The designs have been implemented in 500 school districts and 2100 schools. NAS staff members are preparing professional development, financial planning, and evaluation publications and providing technical assistance to approximately two dozen school districts serving over a million children. In addition, NAS is helping to launch a new design for schools based on the work of the Center for Collaborative Education, a grantee of the Corporation that has developed an innovative middle grade reform initiative.

John L. Anderson, President. (www.naschools.org)

Success for All Foundation, Baltimore, MD. Development and dissemination of an effective instructional program for disadvantaged children (final). Thirty months, \$900,000.

Forty percent of students in the United States complete fourth grade with inadequate literacy and math skills. Success for All, developed at Johns Hopkins University in 1987, is a model program designed to prevent reading difficulties in the preschool and primary grades. It offers early, sustained help in language development, reading, and writing and provides family support to strengthen links between learning at home and in school. A companion program, Roots and Wings, adds math, science, and social studies. Program staff members are revising curriculum and training materials for the early literacy and math programs and creating new Spanish-language resource materials. By 2001, the programs will operate in 3,000 elementary schools.

Robert E. Slavin, Chairman. (www.successforall.org)

Carnegie Corporation of New York, New York, NY. Middle Grade School State Policy Initiative. Appropriation administered by the officers of the Corporation. One year, \$795,000.

The Middle Grade School State Policy Initiative, launched in 1990, is a program of grants to fifteen states aimed at promoting reforms in the education of young adolescents. These reforms were called for in the Carnegie Council on Adolescent Development's 1989 report, *Turning Points: Preparing Youth for the 21st Century*. The initiative has led to the formulation of state policies that encourage middle and junior high schools to adopt promising educational practices. Other results include the creation, in each of the states, of a network of demonstration schools and an infrastructure to support professional development activities for principals and teachers.

In 1997 the initiative began the transition from a Corporation-supported project to a national network of states and schools engaged in implementing the reforms recommended in *Turning Points*. Under a contract with the Corporation, the University of Maryland provides technical and administrative assistance to the project directors in each state. The university is also organizing two conferences to train school practitioners in instruction, school organization, and standards-based curriculum and assessment.

Corporation staff members are completing a sequel to *Turning Points* that will update its suggestions for improving the education of ten- to fifteen-year-olds. *Turning Points 2000: Educating Adolescents in the 21st Century* will draw together lessons learned from the implementation of reforms to middle grade schools generated by the initiative and other efforts. A grant from the Corporation to New American Schools is enabling several states to implement a new middle school design, based on the recommendations of *Turning Points 2000*, under the direction of the Center for Collaborative Education, Metro Boston.

Michael H. Levine, Deputy Chair and Senior Program Officer. (www.carnegie.org)

Brown University, Providence, RI. Annenberg Institute's Task Force on the Future of School Districts. Two years, \$700,000.

The Annenberg Institute for School Reform was established at Brown University in 1993 to promote and advocate for fundamental redesign of American schooling. To address the role of school districts in school reform, the institute has established the Task Force on the Future of School Districts. Members of the task force are reviewing the structure and function of urban school districts and considering alternative models for the systems that are likely to support high-performing schools. In the project's second phase, the task force will foster the adoption of alternative models, particularly in large districts.

Warren Simmons, Executive Director, Annenberg Institute for School Reform. (www.aisr.brown.edu)

The After-School Corporation (TASC), New York, NY. Evaluation of the New York City in-school after-school initiative by Policy Studies Associates. Two years, \$500,000.

In 1998 the Open Society Institute established TASC to provide safe and affordable after-school programs to New York City students. The programs, which run Monday through Friday from 3 p.m. to 6 p.m., offer academic instruction as well as physical, technology, and arts education to participating students. Over a five-year period, TASC expects to serve 200,000 students in 500 schools. Policy Studies Associates, a Washington, D.C.-based research organization, has been engaged to design and implement an evaluation of the in-school after-school initiative. The evaluation will measure the initiative's effects on participating students, their parents, schools, and community-based agencies and identify practices and policies that show promise of helping students achieve.

Lucy N. Friedman, President.

Editorial Projects in Education, Bethesda, MD. Special reporting on school leadership and on an intellectual history of U.S. education in the twentieth century and its future. Eighteen months, \$250,000.

Education Week, the most comprehensive and widely circulated newspaper covering precollegiate education issues today, has played a crucial role in shaping sustained and informed public debate on education reform. With this grant, Editorial Projects in Education, the publisher of *Education Week*, is developing two projects. Reporters are researching and developing a series of articles on school leadership, including the growing shortage of effective principals and superintendents, and preparing reports on the major intellectual trends that have shaped education in the United States over the past century, with a view toward education in the future. The leadership reports will be compiled and made available in print and on *Education Week's* Web site; the reports on trends in U.S. education will be collected in a book and co-published by The New Press.

Virginia B. Edwards, President. (www.edweek.org)

Joy G. Dryfoos, Hastings-on-Hudson, NY. Research and writing on comprehensive youth programs. Eighteen months, \$50,000.

Joy G. Dryfoos's research and writing projects, supported by the Corporation since 1983, have yielded three books and more than seventy articles and reports. During this time, she has studied the needs of at-risk youth and the evolution of full-service community schools, which offer an array of educational, social, and recreational services to students throughout the day and on weekends and during the summer. Her efforts have contributed to the growth of a new national movement on community schools. Dryfoos is now producing a monograph for policymakers, educators, and youth development program directors that will document particularly successful school-community institutional arrangements and the types of policies and funding that sustain them.

Joy G. Dryfoos.

Council of Chief State School Officers, Washington, DC. Interstate New Teacher Assessment and Support Consortium (INTASC) (final). Two years, \$450,000.

INTASC, a consortium of state education agencies, higher education institutions, and national education organizations representing thirty-three states, promotes the development of standards-based licensing systems for beginning teachers. It has developed core standards for what all beginning teachers should know and be able to do and initiated the formulation of model portfolio performance assessments that evaluate a candidate's actual teaching ability. In addition to forging discipline-specific standards from its core standards, INTASC is providing related training and technical assistance to states, teachers, and teacher educators.

M. Jean Miller, Director, Interstate New Teacher Assessment and Support Consortium. (www.ccsso.org)

National Council for Accreditation of Teacher Education (NCATE), Washington, DC. Performance-based accreditation of teacher preparation programs. Two years, \$400,000.

NCATE, a coalition of thirty-three organizations representing teachers, school specialists, and state and local policymakers, is revising its accreditation standards for teacher education institutions. The revisions emphasize teacher candidates' skills and knowledge of subject matter rather than the quality of faculty and resources available within particular teacher education programs. The competence of teacher candidates under the new system will be assessed through examinations, on-demand tasks, and longitudinal evaluations of performance. The revised system, called NCATE 2000, is aligned with licensing and professional development procedures, which are also moving to performance-based systems.

Arthur E. Wise, President. (www.ncate.org)

American Council on Education (ACE), Washington, DC. Task force on teacher education. Nine months, \$117,000.

In 1998 ACE established the Task Force on Teacher Education to develop and disseminate recommendations for improving teacher preparation programs. The task force of academic administrators, college and university presidents, school superintendents, and leaders of higher education associations is commissioning background papers from experts in the field and assessing the demand for and availability of teachers, the current state of teacher preparation, and the measures for quality assurance in teacher education programs. The final report, aimed at university and college presidents, will also be distributed to policymakers, educators, and members of the press.

Michael A. Baer, Senior Vice President, Division of Programs and Analysis. (www.acenet.edu)

Teachers College, Columbia University, New York, NY. Implementation of recommendations of a national commission on teaching. One year, \$380,000.

Under joint support from the Rockefeller Foundation and Carnegie Corporation, the National Commission on Teaching & America's Future made a series of recommendations for the reform of teacher education in its report, *What Matters Most: Teaching for America's Future* (1996). The commission's staff, based at Columbia University's Teachers College, is providing information and technical assistance to policymakers engaged in implementing the recommendations at the state level. The commission is also documenting the strategies used to establish successful teacher education programs and helping to coordinate and inform the efforts of higher education associations working to improve teacher education.

Linda Darling-Hammond, Executive Director, National Commission on Teaching & America's Future, Stanford University. (www.tc.columbia.edu/~teachcomm)

Carnegie Corporation of New York, New York, NY. Teacher Education Technical Assistance Fund. Eight months, \$150,000.

To assist state legislatures, higher education institutions, and school districts in initiating key changes in teacher education, Corporation staff members are bringing together policymakers and higher education representatives to address teacher education reform, including the need for students to gain extended clinical training and supervision, stronger preparation in subject matter, proficiency with technology, knowledge of child and adolescent development, and mastery of research-based approaches to the teaching of reading. The goal is to provide meeting participants with technical information about exemplary teacher education programs as they apply for fiscal support under the reauthorized Higher Education Act of the U.S. Department of Education.

Karin Egan, Program Officer, Carnegie Corporation of New York, 437 Madison Avenue, New York, NY 10022. (www.carnegie.org)

Teachers College, Columbia University, New York, NY. Fred M. Hechinger Institute on Education and the Media (final). Three years, \$500,000.

In 1996, with Corporation funding, Teachers College established the Hechinger Institute on Education and the Media to strengthen print and broadcast coverage of education. The institute's seminars and conferences for journalists and university personnel are aimed at improving public understanding of education and reform. In addition to offering novice reporters the opportunity to become familiar with basic education issues, the seminars provide a vehicle for experienced reporters to examine a variety of emerging trends and concerns. Participating school representatives, including superintendents, principals, and school board members, receive training on how to interact effectively with the media. Links to additional education information are available on the institute's Web site.

Gene I. Maeroff, Director, Hechinger Institute on Education and the Media. (www.tc.columbia.edu/hechinger)

Aspen Institute, Washington, DC. Public policy project to promote the well-being of children. One year, \$440,000.

The Children's Policy Forum, a project of the Aspen Institute, brings members of Congress together with scholars and practitioners to examine the changing lives of children in the United States and to consider policy options for promoting their well-being. Seminars and annual retreats enable a core group of legislators to discuss selected issues with experts in the field and to formulate policy responses. The 1999 retreat, on helping young people become successful adults, examined preparation for citizenship; problems and opportunities for improving access to and graduation from college; policy priorities for closing the academic achievement gap; and the impact of new technologies on education and lifelong learning.

Dick Clark, Director, Congressional Program. (www.aspeninst.org)

Center for Media Education (CME), Washington, DC. Public education and advocacy on behalf of children's interests in the electronic media (final). Three years, \$600,000.

CME conducts research on and raises public awareness about the quality of media programming for children. Center staff members are working with the Federal Communications Commission (FCC) to encourage responsible marketing and business practices in online advertising directed at children and monitoring compliance with FCC rules that require television stations to air at least three hours a week of educational programming for children during prime-time hours. To develop strategies that will ensure universal access to telecommunications services, CME is commissioning research papers, convening a conference of community leaders, scholars, and other experts, and preparing reports to be distributed to policymakers and the press.

Kathryn C. Montgomery, President, and Jeffrey A. Chester, Executive Director. (www.cme.org)

American Association for the Advancement of Science (AAAS), Washington, DC. National project to reformulate the content of elementary and secondary education in science, mathematics, and technology (final). One year, \$415,000.

Project 2061 was created in 1985 by AAAS to reform science education from kindergarten through high school. It has established benchmarks for scientific literacy at specific grade levels and made recommendations for what students should know in science and math by the time they complete their elementary and secondary education. In 1998, with Corporation support, project staff members analyzed the extent to which middle school science and math textbooks are aligned with these benchmarks and standards. Building on this experience, the project is evaluating textbooks in two of the most commonly studied high school courses, biology and algebra. The final results, to be made available on the project's Web site and in print, will be issued to teachers and to district and state textbook adoption committees.

George D. Nelson, Director, Project 2061. (<http://project2061.aaas.org>)

DISCRETIONARY GRANTS

America's Promise: The Alliance for Youth, Alexandria, VA
For strategic planning, \$25,000

American Academy of Arts and Sciences, Cambridge, MA
Toward publication and dissemination of educational materials on business leaders' role as child advocates, \$11,000

Association of Youth Museums, Washington, DC
Toward a conference and dissemination of information on early learning research to children's museums, \$20,000

Caesar and Washburn Incorporated, New York, NY
Toward organizational planning for a public education campaign on meeting the needs of young children, \$25,000

Child Care Action Campaign, New York, NY
Toward planning a campaign on the importance of early childhood literacy for childcare and preschool educators, \$25,000

Committee for Economic Development, New York, NY
For a planning meeting on financing early childhood education and care, \$25,000

Lawyers for Children America, Hartford, CT
As a final grant toward advocacy on behalf of abused children and mediation efforts to prevent violence among children and youth, \$25,000

University of Maryland Foundation, Adelphi, MD
Toward an international survey of students' knowledge of democratic institutions and international and inter-group relations, \$25,000

National Head Start Association, Alexandria, VA
As a final grant toward a project to promote excellence in Head Start programs for disadvantaged preschool children, \$25,000

Replication and Program Strategies, Philadelphia, PA
Toward a project on replicating successful early childhood programs, held in cooperation with the National Center for Children in Poverty of Columbia University, \$25,000

Tides Center, San Francisco, CA
For a research project examining the relationship between public values and social policy for young children, \$25,000

United Way of America, Alexandria, VA
For a planning grant to improve the quality and financial stability of the Success by 6 early childhood program, \$24,700

International Peace and Security

The International Peace and Security program is building on past Corporation activities related to the nonproliferation of weapons of mass destruction, developments in Russia and the other post-Soviet states, and U.S.–Russian relations. Through its support of scholarly research, analysis, and dissemination, it will draw public and policy attention to critical issues in these areas.

Nonproliferation of Weapons of Mass Destruction. While the threat of the deliberate use of nuclear weapons by the major nuclear states may have diminished with the end of the Cold War, the threat of inadvertent or unauthorized use has risen. Added to the nuclear problem is the potential spread of chemical and biological weapons worldwide. The foundation will continue to support work to ensure further reductions in weapons of mass destruction, the security of their storage, and the safety of their command and control systems. It will also support efforts aimed at integrating China into a wider arms control regime and award grants to heighten the awareness of policymakers on a range of arms-control challenges in South and East Asia.

Russia and Other Post-Soviet States. Russia's economy is nearly insolvent, its nascent democratic institutions are fragile, and power struggles between the legislative and executive branches threaten reforms. Russia's human capital holds the key to the country's future. The Corporation will make a modest contribution toward strengthening Russia's ability to prepare a new generation of leaders by supporting discrete projects that foster exchanges among policymakers, experts in banking, business, and finance, and upper-level military personnel from the U.S. and their counterparts in the former Soviet Union. In addition, the Corporation will support selected projects to investigate

critical aspects of U.S.–Russian relations. Projects aimed at training American specialists on the region also will be considered.

New Dimensions of Security. The Corporation will explore ways to support knowledge gathering and policy analysis that addresses emerging threats to international peace and security, such as competition over vital natural resources and the clash of two accepted norms—the sanctity of existing borders and the right of self-determination.

Higher Education in the Former Soviet Union. The Corporation's cross-program initiative on Higher Education in the Former Soviet Union is a collaboration between the programs on Education and International Peace and Security. There is an urgent need to nurture a new generation of scholars and scientists in the post-Soviet states, while safeguarding the contributions that previous generations have made to world culture and civilization, notwithstanding the repression of the past seventy years. Working with the John D. and Catherine T. MacArthur Foundation, the Corporation is assessing the needs of the social sciences and humanities and seeking ways in which, within the terms of the charter, it can strengthen institutions of higher learning and research in the post-Soviet states.

Stanford University, Stanford, CA. Research and training in international security and arms control. Two years, \$1,800,000.

Stanford University's Center for International Security and Cooperation (CISAC), formerly the Center for International Security and Arms Control, brings together scientists, social scientists, scholars, policymakers, and other experts to focus on a wide range of security issues. Through interdisciplinary research and regional and international exchange programs, the team at CISAC, augmented by a group of visiting fellows, contributes to major policy and security debates. Its program on Science, Technology, and International Security examines the relationship between science and technology development and international security policy, and the program on Social Science and Emerging Security Threats emphasizes a historical approach in research on nationalism, ethnic conflict, weapons proliferation, and societal transitions.

Andrew C. Kuchins, Associate Director, Center for International Security and Arms Control. (www.stanford.edu/group/cisac)

Brookings Institution, Washington, DC. Foreign Policy Studies Program. Two years, \$800,000.

The Foreign Policy Studies Program at the Brookings Institution promotes the study and development of post-Cold War international security policy. Program scholars are analyzing nuclear deterioration, the economy, and international relations policies in Russia. The Center for Northeast Asian Policy Studies, a new division of the program, is launching a project to examine the divergent aims of policies in the United States and China. The goal is to establish a more comprehensive policy partnership between the two countries and to sustain a policy dialogue between U.S. policymakers, experts, and journalists on U.S.-China relations. Major international conferences and the publication of articles and books are resulting from both projects.

Richard N. Haass, Director, Foreign Policy Studies Program. (www.brook.edu)

Massachusetts Institute of Technology, Cambridge, MA. Security Studies Program. Twenty-six months, \$800,000.

The Security Studies Program at the Massachusetts Institute of Technology, formerly the Defense and Arms Control Studies Program, provides public education, policy analysis, and graduate student training in the field of international security. The program's faculty of physical and social scientists combine technical and political analysis to address a range of security issues. Its working groups, which comprise faculty members, scholars, and graduate students, are conducting projects on intrastate conflict, military intervention, lessons of the Cold War, and the nonproliferation of weapons of mass destruction. In addition to publishing a newsletter and a research journal, *Breakthroughs*, participants are convening international conferences for scientists and policymakers on early warning systems, tactical nuclear weapons, and missile defenses.

Harvey M. Sapolsky, Director, Security Studies Program. (<http://cis-server.mit.edu/ssp>)

Carnegie Endowment for International Peace, Washington, DC. Project on nonproliferation. Two years, \$400,000.

The Non-Proliferation Project of the Carnegie Endowment for International Peace provides information and analysis to policy officials, experts in the field, and members of the press on the spread of weapons of mass destruction. In addition to its public education activities, the project convenes an annual international conference that draws more than 350 representatives of governments, academia, and non-governmental organizations. Its publications, also available on its Web site, include bimonthly policy briefs and two major annual reports. Project staff members are beginning a monograph series, which in 1999 focused on China and Russia and missile proliferation.

Joseph Cirincione, Director, Non-Proliferation Project. (www.ceip.org)

Monterey Institute of International Studies, Monterey, CA. Research and education on the proliferation of weapons of mass destruction. Two years, \$400,000.

The Newly Independent States (NIS) Nonproliferation Project, established by the Center for Nonproliferation Studies at the Monterey Institute of International Studies, conducts nuclear, chemical, and biological weapons research, provides training programs and seminars for NIS policymakers, scholars, and military personnel, and offers technical assistance to nonproliferation organizations in the region. To foster the development of nonproliferation norms in East Asia, center staff members are conducting a similar program focused on China, Taiwan, North Korea, and South Korea. The center maintains databases on both regions and disseminates the results of its research to experts, policymakers, and members of the press in the United States and internationally.

William C. Potter, Director, Center for Nonproliferation Studies. (www.cns.miis.edu)

University of Georgia Research Foundation, Athens, GA. Project on evaluating national export controls. Two years, \$200,000.

Researchers at the Center for International Trade and Security at the University of Georgia analyze trade and arms export control policies concerned with nonproliferation. Their focus is on assessing the ability of governments to control the sale of weapons and related materials and technology. In addition to encouraging transparency, the methodology the center uses provides countries with information to help them improve their nonproliferation export control systems and determine where they need assistance. In 1999, the center, which is expanding use of the methodology, hosted a workshop for policymakers and officials on improving nonproliferation efforts in specific countries. Staff members are producing a report on each country and publishing a book on the project.

Gary K. Bertsch, Director, Center for International Trade and Security. (www.uga.edu/~cits)

Stanford University and Harvard University, Stanford, CA, and Cambridge, MA. Research and writing on international security by William J. Perry and Ashton B. Carter (final). One year, \$350,000 (\$175,000 per institution).

William J. Perry, former U.S. secretary of defense, and Ashton B. Carter, former assistant U.S. secretary of defense for international security policy, are codirecting a project on preventive defense. Perry and Carter, who have published a previous volume on the concept, are highlighting the need for scholars and practitioners to address dangers that, if mismanaged, have the potential to pose extreme challenges to U.S. security in the long run. Their research and conference reports include examinations of U.S.–China relations, the NATO–Russia relationship, and the proliferation of weapons of mass destruction.

William J. Perry, Codirector, Preventive Defense Project, Center for International Security and Arms Control, Stanford University.

Ashton B. Carter, Codirector, Preventive Defense Project, John F. Kennedy School of Government, Harvard University.

Aspen Institute, Washington, DC. Aspen Strategy Group (ASG). One year, \$250,000.

ASG, a standing committee of the Aspen Institute, was established in 1984 to promote bipartisan discussion of issues affecting U.S. foreign and defense policy. The rotating membership comprises past and present policymakers, business leaders, and media representatives as well as young leaders from a variety of fields. ASG's recent workshops and conferences have focused on interethnic conflict, international economic competition, the impact of advanced technologies on security planning, and the new conditions under which U.S. military forces might be deployed. The meetings result in books, articles, and monographs written for policymakers and the public.

Sharee Calverley, Program Coordinator, Aspen Strategy Group. (www.aspeninst.org)

National Academy of Sciences, Washington, DC. Activities of the Committee on International Security and Arms Control with China and Russia. One year, \$100,000.

The Committee on International Security and Arms Control of the National Academy of Sciences draws together scientists and policy analysts from around the world to address security and defense concerns through policy studies and dialogues. The goal is to establish a common understanding of and promote cooperative solutions to security problems. Regular discussions with scientists in Russia are aimed at achieving a cooperative security relationship between Russia and the United States that includes arms reductions and improved nonproliferation efforts. The committee is convening meetings with scientists from China that address missile proliferation and the effect of nuclear energy policies on international security.

Jo L. Husbands, Staff Director, Committee on International Security and Arms Control. (www.nas.edu)

RUSSIA AND OTHER POST-SOVIET STATES

Carnegie Endowment for International Peace, Washington, DC. Carnegie Moscow Center. Two years, \$800,000.

The Carnegie Endowment for International Peace's Moscow Center offers a forum for Russian scholars and policymakers and their Western counterparts to address Russian policy issues. The focus is on seven areas: domestic politics, post-Soviet economies, ethnicity and nation-building, migration and refugees, nuclear nonproliferation, foreign and security policy, and U.S.-Russian relations. Core activities in each program include joint research, the publication of books and articles, and a seminar series for Moscow-based analysts, decision makers, and journalists. U.S. and Russian scholars also contribute to the center's Russian-language quarterly journal, *Pro et Contra*.

Arnold Horelick, Vice President for Russian and Eurasian Affairs. (www.ceip.org)

Aspen Institute, Washington, DC. International activities of the Congressional Program. One year, \$650,000.

The Aspen Institute's Congressional Program brings U.S. scholars together with members of Congress to examine international relations and security-policy issues. Participants in the program also include parliamentarians and experts from nations in Western and Eastern Europe, the former Soviet Union, Southern Africa, and Asia. The goal is to provide U.S. policymakers with detailed information on and analysis of the implications of selected countries' policy developments. The program convened a conference in Berlin in 1999 and is holding a series of seminars on U.S. relations with the states of the former Soviet Union. Members of the Russian Duma are being invited to speak at the conference and policy briefs are being prepared for attending members of Congress.

Dick Clark, Director, Congressional Program. (www.aspeninst.org)

Harvard University, Cambridge, MA. Fellowships at the Belfer Center for Science and International Affairs on international security. Two years, \$500,000.

One of the activities of the International Security Program at the Belfer Center for Science and International Affairs is to provide yearly support for approximately ten predoctoral and postdoctoral fellows. The fellows, whose work contributes to international security policy development, conduct research in one of the program's three areas of study: weapons proliferation, the causes and prevention of internal conflict, and democracy and peace. Predoctoral fellows complete their dissertations and postdoctoral fellows prepare monographs, articles, and books to be disseminated to policymakers, scholars, and members of the press. Current research is focused on nuclear, chemical, and biological weapons proliferation and the causes and prevention of civil wars and other forms of internal conflict.

Graham T. Allison, Director, Belfer Center for Science and International Affairs, and Douglas Dillon Professor of Government, John F. Kennedy School of Government. (www.ksg.harvard.edu/bcsia)

International Institute for Strategic Studies, London, United Kingdom. Project on Russian military reform. Two years, \$320,000.

Members of the project on Russian military reform at the International Institute for Strategic Studies are conducting research on the state of Russia's military and organizing conferences that bring together mid-level Russian military officers and British military experts. The conferences, which address practical issues, including defense budgeting and the resettlement and retraining of officers, provide a forum for exchanging information on various aspects of military restructuring. The aim is to establish a network of representatives from governments, nongovernmental agencies, and the new generation of military experts in Russia and the West to assist in the implementation of effective strategies for military reform in Russia.

Oksana Antonenko-Gamota, Research Fellow.

Harvard University, Cambridge, MA. Programs with Russian military personnel and policymakers on foreign and security policies. One year, \$310,000.

The John F. Kennedy School of Government at Harvard University brings a group of Russian military officers and members of the Russian State Duma to Cambridge, Massachusetts, each year for two separate executive programs. The military program engages twenty Russian and American officers in a two-week session of lectures and discussions on economic, political, and foreign policy issues. The lectures are led by American faculty and Russian scholars. Using the same approach, the Duma program invites twenty-five Russian deputies to study the U.S. system of governance, including an examination of party politics and congressional organs. The programs are administered in cooperation, and on a cost-sharing basis, with U.S. and Russian agencies.

Robert D. Blackwill, Belfer Lecturer in International Security.

National Security Archive Fund, Washington, DC. Russia and Former Soviet Union Initiative. One year, \$275,000.

The National Security Archive at George Washington University promotes the expansion of public access to government materials by locating, archiving, and publishing declassified documents. Archive staff members assist research institutes, nongovernmental organizations, and activists, journalists, and scholars in efforts to declassify, preserve, and make accessible government documents in the United States and internationally. Since the end of the Cold War, the archive has been collaborating with organizations in Russia on the Russia and Former Soviet Union Initiative, a project to prompt the release of official Soviet materials. The goal, in part, is to establish and disseminate a diversity of perspectives on recent and contemporary international affairs.

Thomas S. Blanton, Chief Executive Officer. (www.seas.gwu.edu/nsarchive)

Harvard University, Cambridge, MA. Program on new approaches to Russian security (PONARS). Seventeen months, \$300,000.

PONARS, created in 1997 and based at Harvard University's Davis Center for Russian Studies and the Center for International Affairs, promotes international analysis of the institutional forces, economic interests, and social factors that influence Russia's security policies. Through an electronic list-serv, a working paper series, and conferences and workshops in the United States and Russia, the program brings together young social scientists specializing on the region from both countries. Participants are publishing articles on the 1998 financial crisis in Russia and preparing policy briefs to be distributed to policymakers and analysts at an annual conference in Washington, D.C. PONARS is expanding its Russian membership through increased sponsorship of Russian social scientists in its conferences and other activities.

Celeste A. Wallander, Associate Professor of Government. (www.fas.harvard.edu/~ponars)

Moscow School of Political Studies, Moscow, Russia. U.S. participation in seminars on democratic institutions and civil society. Two years, \$200,000.

The Moscow School of Political Studies was created in 1992 to promote the development of democratic institutions, human rights, and civil society in Russia. Its training program for journalists, business leaders, and national and regional government officials is directed by a team of scholars, experts, and policymakers from the United States, Europe, and Russia. The team is organizing six seminars in Moscow and the surrounding region to examine the principles and practices of democracy, including the roles and responsibilities of the law, regional policy, and mass media. It is also producing a series of publications based on the lectures delivered at the seminars. The school is expanding its production of English language publications and focusing on efforts to increase the participation of U.S. experts in its seminars.

Elena Nemirovskaya, Director.

Aspen Institute, Washington, DC. Discussions between U.S. and Russian policymakers conducted by the Aspen Strategy Group (ASG). One year, \$200,000.

ASG provides an unofficial channel for strategic dialogue between U.S. and Russian leaders and analysts through its U.S.-Russia Dialogue project. Members of the project, who meet biannually, assist policymakers by generating joint ideas, proposals, and initiatives that address contentious geopolitical, security, and economic issues before they become critical. Current meetings are structured around several interconnected goals: to reinvigorate the bilateral relationship, examine divergent regional policies, promote additional reciprocal reductions in nuclear weapons systems, and conceive of mutual responses to Russia's economic situation. Papers, articles, and meeting reports are distributed to foreign policy leaders in both countries. The Council on Foreign and Defense Policy in Moscow is co-administrator for the project.

Sharee Calverley, Program Coordinator, Aspen Strategy Group. (www.aspeninst.org)

National Bureau of Asian Research (NBR), Seattle, WA. Project on the security implications of economic and political developments in the Russian Far East. One year, \$150,000.

NBR is assembling a team of scholars from the United States, Russia, Japan, and China to examine political and economic developments in the Russian Far East which, though once a critical outpost of Soviet power in Asia, has become a potential source of instability. The study, to focus on major internal and external factors affecting security in the region, will be conducted in collaboration with the Economic Research Institute of the Far Eastern Branch of the Russian Academy of Sciences and the Henry M. Jackson School of International Studies at the University of Washington. Members of the team will prepare essays for publication in several academic journals.

Herbert J. Ellison, Director, Eurasia Policy Studies. (www.nbr.org)

Ohio State University Research Foundation, Columbus, OH. Five-institution collaboration on the strategic and military aspects of the end of the Cold War (final). One year, \$100,000.

To understand events that led to the peaceful end of the Cold War, scholars from the Ohio State University, Brown University, and the University of Munich, together with the National Security Archive and the Cold War International History Project, have organized a series of oral history conferences. The conference at Ohio State, second in the series, is focusing on strategic and military aspects, the Strategic Arms Reduction Treaty, and the Gulf war. The project has several goals: to generate analysis essential to understanding the events of the period, to interpret the main causes of the war's end, and to train young scholars from Russia and the United States in policy research. A book on the project is also being prepared.

Richard K. Herrmann, Professor of Political Science and Associate Director, Mershon Center. (www.mershon.ohio-state.edu)

International Peace Academy, New York, NY. Symposium on "Civilians in War: 100 Years after The Hague Peace Conference." One year, \$216,000.

The International Peace Academy held a symposium in New York City to mark the one-hundredth anniversary of The Hague's first International Peace Conference. The symposium, which took place in fall 1999, brought together an international group of scholars, jurists, field practitioners, and political and civic leaders to consider the unfulfilled goals of the first conference, with a particular focus on the protection of civilians during armed conflict. Participants addressed the contemporary applicability of the international peacekeeping and human rights laws and mechanisms for compliance generated by the conference nearly a century ago. An edited volume, based on papers commissioned for the symposium, will be prepared by academy staff members.

David A. Malone, President. (www.ipacademy.org)

Stanford University, Stanford, CA. Research and writing by Alexander L. George on international relations (final). One year, \$100,000.

The work of Alexander L. George, professor emeritus of political science at Stanford University and member of the Carnegie Commission on Preventing Deadly Conflict, has been central to the development of international relations and to the endeavors of the commission generally. George is currently working on five interrelated projects. He is researching the extent to which area studies are necessary for foreign policymaking; the requirements for achieving and maintaining policy support; the factors that lead to peace among democracies; the state of knowledge on policy planning; and the role of analysis in policymakers' decisions. For each project, George is convening meetings to draw on the expertise and experience of selected scholars and policymakers.

Alexander L. George, Graham H. Stuart Professor of International Relations and Professor Emeritus, Department of Political Science.

United Nations Institute for Training and Research (UNITAR), Geneva, Switzerland. Program in peacemaking and preventive diplomacy (final). One year, \$75,000.

In 1993, UNITAR created the Fellowship Programme in Peacemaking and Preventive Diplomacy to train UN diplomats and mediators in conflict prevention and conflict resolution. The core component of the program is a two-week training session during which fellows study the forms and causes of conflict and learn to apply conflict resolution methodology in international contexts. In the optional extended program for core program graduates, fellows examine a particular conflict in detail and evaluate the peacemaking efforts involved. They present their findings annually in New York City at a meeting cohosted by UNITAR and the International Peace Academy.

Connie Peck, Coordinator, Fellowship Programme in Peacemaking and Preventive Diplomacy. (www.unitar.org)

National Endowment for Democracy, Washington, DC. International Forum for Democratic Studies (final). One year, \$50,000.

The National Endowment for Democracy is a non-partisan grantmaking agency established in 1983 by U.S. Congressional mandate. Through conferences, a resource center, a visiting fellows program, and the *Journal of Democracy*, the endowment's International Forum for Democratic Studies generates analyses of the theory and practice of democracy and serves as a clearinghouse for information about democratization. The forum's Research and Conference Program fosters discussion between scholars, activists, and practitioners on the worldwide establishment and consolidation of democratic government. Together with Princeton University, the forum is cosponsoring a conference series on democratic federalism. The forum is also organizing smaller meetings on democracy in Indonesia.

Marc F. Plattner, Codirector, International Forum for Democratic Studies. (www.ned.org)

United Nations Research Institute for Social Development, Geneva, Switzerland. War-Torn Societies Project (WSP). Fifteen months, \$200,000.

The United Nations Research Institute for Social Development initiated WSP in 1994 to help governments and the informed public better understand the complex issues involved in rebuilding societies after conflict. WSP has completed case studies in Eritrea, Mozambique, Guatemala, and Somalia, where external researchers, local policymakers, and academics analyzed the process of rebuilding and formulated recommendations. The studies, which provide a framework for cooperative international assistance in postconflict rebuilding, are being published. In addition, WSP has produced a three-part final report on the approach for dissemination to policymakers and members of the media.

Matthias Stiefel, Project Director, War-torn Societies Project. (www.unicc.org/unrisd/)

Project on Ethnic Relations (PER), Princeton, NJ. Project on ethnic conflict in Eastern Europe. Two years, \$800,000.

PER aims to encourage the peaceful resolution of ethnic conflict between minority and ruling majority populations in Central and Eastern Europe, the Balkans, and the former Soviet Union. Its members, who serve as neutral intermediaries, organize annual consultations for political leaders from the regions and convene informal roundtable discussions at which representatives from conflicting groups negotiate in the presence of senior officials from the United States and European and other countries. Published summaries of the seminars and meetings are distributed to a targeted group of 1,500 policymakers and experts and are made available on the Internet. In addition, PER maintains permanent field offices in the regions and cultivates a relationship with the national and international media that fosters further dissemination of the project's work.

Allen H. Kassof, President. (www.netcom.com/~ethnic/per.html)

Conflict Management Group (CMG), Cambridge, MA. Managing ethnic conflict in the former Soviet Union. Two years, \$360,000.

CMG offers training in negotiation and conflict resolution to national and international nongovernmental organizations (NGOs) and to governments. In the former Soviet Union, activities focus on the Caucasus, where staff members are directing neutral, informal, and nonevaluative forums that parallel official resolution proceedings. Preparation for the forums includes factfinding trips to the region, analysis of the official negotiation processes, and the development of conflict management guidelines relevant to the local context. CMG will make its work on the project in the Caucasus available online for policymakers and NGO representatives.

Arthur Martirosyan, Consultant and Project Manager. (www.cmgonline.org)

Conflict Management Group (CMG), Cambridge, MA. Network on Ethnological Monitoring and Early Warning of Conflict (EAWARN). One year, \$190,000.

EAWARN, administered by CMG, monitors ethnic and political conflict in the former Soviet Union and provides related timely analysis, based on a quantitative early warning model, to governments and international organizations. EAWARN's reports cover a wide range of issues in the region, including refugees and migration, religious and ethnic relations, xenophobia, and other socioeconomic and political developments. Members of the electronically linked network, representing thirty-two locations in the region, also publish a bimonthly *Bulletin* in Russian and English, distribute their reports online, maintain a database on post-Soviet conflicts, and participate in annual training seminars.

Arthur Martirosyan, Consultant and Project Manager. (www.eawarn.ru)

Harvard University, Cambridge, MA. Project on strengthening democratic institutions in the former Soviet Union. Two years, \$600,000.

The elections for a new Duma, scheduled for December 1999, and for a new President, scheduled for June 2000, will be critical for stabilizing Russia's electoral process. Scholars in the Strengthening Democratic Institutions Project at Harvard University's John F. Kennedy School of Government are analyzing the activities leading up to the elections and working with Russian leaders to continue to promote a multi-party system and representative democracy. Along with producing articles and reports, members of the project are holding seminars with visiting Russian political leaders and scholars on the implications of ongoing developments for democratization.

Graham T. Allison, Director, Strengthening Democratic Institutions Project. (www.ksg.harvard.edu/bcsia/sdi)

HIGHER EDUCATION IN THE FORMER SOVIET UNION

United States Civilian Research and Development Foundation for the Independent States of the Former Soviet Union (CRDF), Arlington, VA. Basic Research and Higher Education Program. Two years, \$1,000,000.

Scientific research in Russia, formerly conducted in elite, post-academic facilities, is being linked to educational institutions and universities through CRDF's Basic Research and Higher Education Program, a major initiative supported by the Russian government and a consortium of Western foundations. The program is awarding small research grants to exceptional young scientists based at universities and is establishing scientific research centers within selected departments of Russian higher educational institutions. Students and scientists at the new research centers will collaborate with their counterparts at external facilities in Russia and at similar university research centers in the United States and elsewhere.

Gerson S. Sher, President and Executive Director. (www.crdf.inter.net)

American Council of Learned Societies, New York, NY. Fellowships in the humanities and related social sciences. Four years, \$1,000,000.

In February 1998, with Corporation support, the American Council of Learned Societies launched a program of fellowships to scholars in Russia, Belarus, Ukraine, and other states of the former Soviet Union. The fellowships are awarded to individuals for projects conducted in the region in the humanities and social science disciplines, including history, literature, philosophy, anthropology, and cultural, ethnic, and gender studies. In addition to providing the next generation of scholars in the former Soviet Union with opportunities to strengthen the two fields, the project aims to establish a network of experts across institutions, disciplines, and countries.

Andrzej W. Tymowski, International Programs. (www.acls.org)

International Research and Exchanges Board (IREX), Washington, DC. Social Sciences and Humanities Network. Two years, \$800,000.

IREX was established in 1968 to promote scholarly exchange and joint research between the United States and the Soviet bloc countries. It has formed the Social Sciences and Humanities Network to help address the debilitating budgetary, organizational, and identity challenges that institutions of higher learning in Russia and the other post-Soviet states now face. In addition to implementing a program of university-to-university partnerships in the region and providing social science and humanities faculty with technical support and training, network staff members are administering a short-term exchange program between scholars and administrators in the post-Soviet region and their counterparts in the United States and in Western and Eastern Europe. The network is concentrating its activities in Russia, Ukraine, Georgia, Armenia, and Azerbaijan.

McKinney H. Russell, Coordinator for Academic and Training Programs. (www.irex.org)

Eurasia Foundation, Washington, DC. Economics Education and Research Consortium. Two years, \$500,000.

The Eurasia Foundation aims to strengthen institutions in the emerging democracies in the former Soviet Union. To promote economic reform in Russia and Ukraine, the foundation formed the Economics Education and Research Consortium. The consortium's Russian program conducts seminars and holds an annual conference on research topics and methodologies. It prepares a newsletter, conference reports, and working papers and offers small grants to economists for policy-oriented research. The program in Ukraine emphasizes the training of young economists at the graduate level, bringing visiting faculty from Europe and North America to provide instruction and course development. The consortium's international advisory board offers administrative guidance to both programs.

Andrea D. Harris, Project Director, Economics Education Research Consortium. (www.eurasia.org)

Woodrow Wilson International Center for Scholars, Washington, DC. Needs assessment by the Kennan Institute for Advanced Russian Studies of the humanities and social sciences in the new states of the former Soviet Union. Nine months, \$50,000.

The Woodrow Wilson Center's Kennan Institute for Advanced Russian Studies is receiving joint funding from the Corporation and the John D. and Catherine T. MacArthur Foundation to assess the state of the humanities and the social sciences in the former Soviet Union. In addition to examining relevant programs and organizations supported by Western donors, institute staff members are holding meetings and commissioning papers to draw on the views of scholars in the region. The ultimate goal is to formulate a long-term action plan by donor agencies to strengthen and reform these fields in the states of the former Soviet Union.

Blair A. Ruble, Director, Kennan Institute. (www.si.edu/wwics)

British American Security Information Council, Washington, DC

Toward publication and dissemination of a report on a risk reduction strategy for NATO, \$25,000

British American Security Information Council, Washington, DC

For a research project on the Verification Protocol of the Biological and Toxins Weapons Convention, \$14,000

Brown University, Providence, RI

Toward a project on targeted financial sanctions, \$25,000

Carnegie Corporation of New York, New York, NY
For completion of a book on McGeorge Bundy's role in policymaking on the Vietnam War, \$25,000

Center for Public Integrity, Washington, DC

Toward the inaugural conference of the International Consortium for Investigative Journalists, \$25,000

Financial Services Volunteer Corps, New York, NY
For planning a multidisciplinary study of the relationship between the security and economic problems of Russia, \$25,000

George Washington University, Washington, DC

For planning a study group on state-building in Russia, \$18,400

Harvard University, Cambridge, MA

As a final grant toward a working group on Israeli-Palestinian relations, \$25,000

Human Rights Alliance, Washington, DC

Toward support, \$25,000

Hunter College of the City University of New York, New York, NY

Toward research and writing by Sumit Ganguly on the Indo-Pakistani conflict, \$15,000

Institute for Eastwest Studies, New York, NY

For the translation into Russian of published volumes on Russia's security environment on its western, southern, and eastern boundaries, \$24,000

Institute for War and Peace Reporting, London, United Kingdom

Toward the Balkan Crisis Report project, \$15,000

Johns Hopkins University, Baltimore, MD

Toward planning a project on issues of water scarcity in South Asia, \$25,000

Lawyers Alliance for World Security, Washington, DC

Toward planning a project on Russian constitutional practices, \$25,000

Lawyers Alliance for World Security, Washington, DC

Toward consultations in Germany and Italy about NATO's policy on the use of nuclear weapons, \$20,000

University of Maryland, College Park, MD

Toward a conference on the role of major unilateral concessions on negotiating conflict resolution, \$25,000

National Bureau of Asian Research, Seattle, WA

For planning a study of social cohesion in Russia, \$24,500

National Council for Research on Women, New York, NY

Toward support of the magazine *We/Myi, The Women's Dialogue*, \$25,000

New York Academy of Sciences, New York, NY

As a final grant for a study of the effects of scientific cooperation on conflict resolution, \$25,000

Oxford Research Group, Oxford, United Kingdom

Toward a conference on plutonium and nuclear proliferation, \$20,000

Pennsylvania State University, University Park, PA

Toward publication in English of the complete memoirs of Nikita Khrushchev, \$25,000

Physicians for Human Rights, Boston, MA

Toward an investigation of medical neutrality in Kosovo, \$25,000

Ploughshares Fund, San Francisco, CA

Toward a project on Y2K preparedness and emergency response in Russia, \$24,000

Ploughshares Fund, San Francisco, CA

Toward the Peace and Security Funders Group, \$25,000

Tides Center, San Francisco, CA

For a planning conference hosted by the Russian-American Nuclear Security Advisory Council on development of a nongovernmental consortium in support of the U.S.-Russian Nuclear Cities Initiative, \$25,000

United Nations High Commission for Human Rights, Geneva, Switzerland

Toward research on the future of human rights and related ethical and moral issues on the 50th anniversary of the Universal Declaration of Human Rights, \$25,000

United Nations Research Institute for Social Development, Geneva, Switzerland

For a meeting in New York to disseminate the final report of the War-torn Societies Project, \$25,000

University of Victoria, Victoria, Canada

Toward research and writing on religion and peace-building, \$25,000

Woodrow Wilson International Center for Scholars, Washington, DC

For planning a study on political democratization and economic reform in Russia, \$21,500

World Affairs Council of Northern California, San Francisco, CA

Toward a conference on Korea, \$25,000

World Federalist Movement, New York, NY

Toward The Hague Appeal for Peace, \$25,000

International Development

In the International Development program, the Corporation is returning to its historical interests in higher education and library development in Commonwealth Africa. The following themes define the program: strengthening selected African universities; enhancing women's opportunities in higher education; and revitalizing public libraries. The Corporation will also explore a few discrete opportunities concerning the rule of law.

Strengthening African Universities. African universities over the past two decades have suffered losses of staff and financial resources as well as the deterioration of physical plant and infrastructure. There is broad consensus that reforms, to succeed, must take place in the context of an overall plan for university development—one aimed at sound institutional management, transparent and accountable governance, a thriving intellectual environment, adequate facilities for faculty members and students, and, above all, effective leadership. Before launching a full-scale program, the Corporation will commission studies to review progress made by some African universities in improving their management and governance systems.

Enhancing Women's Opportunities in Higher Education. The Corporation is undertaking studies to determine the current status of female undergraduates on African campuses, the problems affecting their participation, and the opportunities for improvement. It will then work with regional organizations to assess the feasibility of establishing a Carnegie Corporation scholarship program and other types of assistance to facilitate African women's access to university education.

Revitalizing Public Libraries. Public libraries

have the mandate to serve as a democratic source of information and knowledge, but the low priority given them by governments and by public, private, and international funders has led to a severe deterioration of stock and services in the continent. Libraries are, in fact, perhaps Africa's most underrated educational institutions. At the same time, their potential role in improving literacy levels and increasing access by students and the general public to books and journals and eventually information technologies is significant. In the coming year the Corporation will seek opportunities for strengthening public libraries and library systems in a few selected African countries.

REVITALIZING PUBLIC LIBRARIES

International Council of Scientific Unions, Paris, France. Review and synthesis of literature on public libraries in Africa by the International Network for the Availability of Scientific Publications, Oxford, United Kingdom. Eight months, \$38,000.

To create a comprehensive bibliography on the state of public libraries in Commonwealth countries in Africa, the International Network for the Availability of Scientific Publications is conducting a search for literature on the services, staffing, policies, and condition of existing facilities. The research, which is focused on writings about libraries in Botswana, Ghana, Kenya, Malawi, Nigeria, South Africa, Tanzania, Uganda, Zambia, and Zimbabwe, aims to identify gaps in knowledge and to indicate options for strengthening services and increasing access to information and communications. The network's bibliography will be disseminated to librarians and policymakers in the countries under review, as well as to donors within and outside of Africa.

Carol Priestley, Director, International Network for the Availability of Scientific Publications. (www.oneworld.org/inasp)

SCIENCE AND TECHNOLOGY FOR DEVELOPMENT

Institute of International Education, Washington, DC. International Health Policy Program (IHPP) (final). Eighteen months, \$388,600.

IHPP, based at the Institute of International Education and cosponsored by the Corporation, the Pew Charitable Trusts, the World Health Organization, and the World Bank, is completing its work to improve the allocation of resources for health care in developing countries. IHPP has provided technical assistance and training in health policy research and analysis to fourteen teams of researchers and policymakers in eleven countries in Africa and Asia. The program secretariat is helping the teams in Africa prepare and distribute articles, policy briefs, and a book on final results. It is also supporting team efforts to identify ways of sustaining the activities of the program after IHPP closes.

Davidson R. Gwatkin, Director, IHPP. (www.worldbank.org)

United Nations Department of Economic and Social Affairs, New York, NY. Coordinated African Programme of Assistance on Services (CAPAS) of the United Nations Conference on Trade and Development (final). Twenty-three months, \$400,000.

In 1992 CAPAS was established to assist the efforts of African countries in negotiating international trade agreements on services and formulating domestic policies to revive service sectors. With support and general guidance from CAPAS, nineteen countries have assembled teams of researchers and policymakers to analyze and reform service sector policies and practices. CAPAS is convening four workshops to consolidate the teams' work. Team members from the project countries along with representatives from other sub-Saharan African countries and the World Trade Organization are participating in the workshops. The teams are contributing to a series of reports and a book on the program's work.

Thierry J. Noyelle, Chief Technical Advisor, CAPAS. (www.unicc.org/unctad)

Council on Health Research for Development, Geneva, Switzerland. Promoting essential national health research in sub-Saharan Africa (final). Two years, \$250,000.

The Council on Health Research for Development was founded in 1993 to promote the coordination of national and international health research efforts in developing countries. Under the project, researchers, health care providers, decision makers, and members of local communities work together to analyze local health problems and policies and set priorities for delivering health care. Findings are disseminated to international donors and health care organizations to assist in setting the global health research agenda. With Corporation support, the council is working with countries in sub-Saharan Africa to convene national conferences, roundtable meetings with donors, and regional meetings of researchers.

Yvo Nuyens, Coordinator.

International Forum for Social Sciences in Health, Caracas, Venezuela. Support (final). Three years, \$150,000.

The International Forum for Social Sciences in Health, created in 1991, is a global network that promotes the use of social science theories and methodologies in health care assessment, policymaking, and programming, particularly in developing countries. The forum comprises a secretariat, a steering committee of social scientists and medical professionals from the United States and eleven other countries, and five regional networks representing Africa, Asia and the Pacific, and Latin America. In addition to organizing interregional seminars, the forum's secretariat is developing a Web site, implementing a small grants program for young professionals, and preparing case studies on the results for healthcare of interdisciplinary research.

Roberto Briceño-León, Global Secretary. (www.ifssh.com)

WOMEN'S HEALTH AND DEVELOPMENT

African Women's Development and Communication Network (FEMNET), Nairobi, Kenya. Strengthening communication activities; and institutional strengthening (final). Two years, \$250,000.

FEMNET is a membership organization established in 1988 to increase communication and collaboration among organizations in Africa working on women's rights and development. In addition to producing two newsletters, one on members' activities and one on emerging issues affecting women, the network provides technical assistance to member organizations, monitors implementation of the 1995 Beijing Platform for Action, and maintains a documentation center for research by its members and other individuals, scholars, and students. Network staff are broadening dissemination efforts, both in the continent and internationally.

Sara Hlupekile Longwe, Chairperson.

University of the Witwatersrand, Johannesburg, South Africa. Research on gender issues by the Centre for Applied Legal Studies (final). Two years, \$250,000.

The legal and social science research conducted by the University of the Witwatersrand's Gender Research Project at the Centre for Applied Legal Studies contributed to the inclusion of substantial protection for women's rights in South Africa's 1996 constitution. To ensure that these rights are consolidated and extended in policy development and law reform, project staff members are engaged in research, advocacy, and litigation in constitutional law, customary law, family law, and access to justice. They are also writing briefs on relevant cases, publishing research results for distribution to policymakers, and conducting educational seminars and workshops for judges, human rights lawyers, and community leaders.

Catherine Albertyn, Head, Gender Research Project, Centre for Applied Legal Studies.

Forum for African Women Educationalists (FAWE), Nairobi, Kenya. Strengthening national chapters; and general support. One year, \$250,000.

FAWE, a membership organization, aims to increase educational achievement and access to education for African women and girls. Women ministers of education, university vice-chancellors, and other senior policymakers from thirty African countries comprise FAWE's core membership, with national chapters and male senior policymakers constituting its associate membership. In addition to disseminating information to teachers, policymakers, and community leaders, FAWE sponsors demonstration projects that test new ways of enhancing girls' educational participation. To strengthen local capacity, the regional secretariat is providing training and technical assistance to selected national chapters, which now number thirty-one.

Penina Mlama, Executive Director. (www.fawe.org)

Women and Law in East Africa, Nairobi, Kenya. Research on women's legal rights in Kenya, Tanzania, and Uganda (final). Two years, \$150,000.

Women and Law in East Africa, established in 1992, is a research network that documents women's experiences with the law in Kenya, Tanzania, and Uganda. Modeled on a similar network in southern Africa, the organization adds to the knowledge about women's interaction with the legal system and registers the complex interplay between law and practice in countries with plural legal heritages. Members drawn from the three countries conduct pilot studies and literature reviews to determine appropriate research methods for each inquiry. The results of the research are disseminated through dramatic performance, books, and radio dialogues; integrated into law school courses; and used to inform national policy discussions. Members are completing a study of marriage laws and legal access to family resources.

Janet Kabeberi-Macharia, Regional Coordinator.

Women in Law and Development in Africa (WILDAF), Harare, Zimbabwe. Meeting of African women's organizations. Seven months, \$104,500.

As a result of the 1985 world conference appraising the achievements of the United Nations Decade for Women, many African women's organizations were founded to ensure the inclusion of women and women's issues in national development planning. Among these, WILDAF focuses its efforts on improving the legal status of women. In November 1998, WILDAF and two regional organizations, the African Women's Development and Communication Network and Akina Mama wa Afrika, hosted a one-week meeting in Harare, Zimbabwe, for the heads of women's groups in Africa. Participants discussed the political, financial, and organizational challenges faced by the groups and formulated strategies to improve organizational effectiveness. The organizers will produce a report and develop and publish guidelines on successful practices.

Joana Foster, Regional Coordinator.

International Federation of Women Lawyers, Kenya Chapter, Nairobi, Kenya. Monitoring women's rights in Kenya (final). Two years, \$100,000.

The International Federation of Women Lawyers, Kenya Chapter, aims to improve the legal status of Kenyan women. The chapter, headquartered in Nairobi, provides free legal assistance to indigent women and holds legal awareness workshops for community leaders and government officials. In 1996, the chapter initiated a project to monitor women's rights. Project staff members research and conduct analyses of court and police records, track media reports on women's rights violations, and review federation case files. The findings of the project are compiled and published in biannual, annual, and occasional reports, which have been successfully used by nongovernmental organizations to encourage legal reform on behalf of Kenyan women.

Jean Njeri Kamau, Executive Director.

Akina Mama wa Afrika, London, United Kingdom. African women's leadership institute (final). One year, \$150,000.

Akina Mama wa Afrika, a women's development organization based in London, launched an African women's leadership institute in 1996 to strengthen the leadership skills of women between the ages of twenty-five and forty. Each year, the institute convenes a three-week residential leadership training course in Entebbe, Uganda, for up to twenty-five participants; to date, seventy-three women representing twenty-four African countries have completed the training. Akina has established the Regional Leadership Development Centre in Kampala to provide additional information and support to institute alumni and other young women leaders. The institute's international coordinating committee held a strategic planning meeting in October 1999 and a reunion conference in February 2000.

Bisi Adeleye-Fayemi, Executive Director. (www.akinamama.com)

Women's Development Foundation, Johannesburg, South Africa. Strengthening of policy program for gender equality (final). Two years, \$150,000.

Established in 1992, the Women's Development Foundation was one of the first organizations in South Africa aimed at enhancing black women's political participation. Its activities, which include research, awareness campaigns, and training workshops, have helped to make gender representation and related issues integral to the nation's policymaking process. To consolidate the foundation's efforts and prepare for the June 1999 elections, foundation staff members are holding workshops in five provinces to build on women's political knowledge and to strengthen the skills and expertise of local female officials. In collaboration with other nongovernmental organizations, the foundation is also organizing national symposia to advocate for legislative reforms that protect women's interests.

Barbara Watson, Executive Director.

GENERAL

Africa Policy Information Center (APIC), Washington, DC. Support (final). Two years, \$500,000.

APIC, formerly the Washington Office on Africa Education Fund, was established in 1978 to provide information on South and southern Africa to the United States' anti-apartheid movement. As the transition to political democracy in South Africa was completed, APIC broadened its scope to address and communicate to U.S. policymakers and the general public a range of issues affecting the entire African continent. Its Web site, electronic distribution list, background papers, briefs, posters, and books provide analysis and information about economic, political, and social developments in Africa. Staff members are also organizing electronic roundtables on Africa and strengthening outreach by conducting an assessment of the informational needs of U.S. organizations interested in Africa.

William Minter, Acting Executive Director. (www.africapolicy.org)

Africa Fund, New York, NY. Promoting the involvement of state and municipal officials in U.S. policy toward Africa (final). Two years, \$300,000.

The Africa Fund was created in 1966 to increase U.S. support for constructive foreign policy toward the newly independent nations of Africa. An important component of its work is to reach out to U.S. state and local officials to broaden the Africa policymaking process beyond the Washington foreign policy community. Using a constituency-building model that emphasizes personal contact through meetings, telephone conferences, and mailings, the fund has built a core of 400 informed state and local policymakers committed to enhancing U.S. relations with African countries. These officials facilitate linkages between organizations in their localities and counterpart organizations in African countries and consult with national policymakers on improving policies toward Africa.

Jennifer Davis, Executive Director. (www.prairienet.org/acas/afund.html)

Carter Center, Atlanta, GA. New model of international cooperation for development assistance. One year, \$250,000.

The Global Development Initiative was established in 1993 at the Carter Center to devise a model for improving development assistance through increased collaboration among donors and between donors and developing countries. The model has two components: the elaboration by the host country of a national development strategy that establishes economic, legislative, and human resources plans and priorities, and the coordination of donors to support implementation of the strategy. The center, which provides technical assistance to the host country, is completing its work in Guyana and extending tests of the model to Albania, Mali, and Mozambique. Development experts and an advisory group of leaders from donor agencies and nongovernmental organizations assist the center in monitoring and evaluating the initiative.

Jason S. Calder, Senior Program Associate, Global Development Initiative. (www.cartercenter.org)

Brookings Institution, Washington, DC. Project by Francis M. Deng to develop a normative framework for governance in Africa. One year, \$200,000.

In the Corporation-supported book *Sovereignty as Responsibility: Conflict Management in Africa* (Brookings Institution, 1996), author Francis Deng stressed the responsibilities of national governments toward their citizens. He is now working to define a set of standards for responsible governance that would be accepted by a majority of African countries. In Deng's view, these include adherence to democratic principles, respect for fundamental rights and freedoms, constructive management of diversity, and economic policies aimed at producing growth along with equitable resource distribution. Advised by a committee of African, U.S., and European scholars and practitioners, he is holding workshops to review the themes and recommendations emerging from the study and to plan strategies for disseminating the resulting book.

Francis M. Deng, Senior Fellow, Foreign Policy Studies Program. (www.brook.edu)

National Summit on Africa, Washington, DC. Planning a national leadership conference on U.S.–Africa relations. One year, \$250,000.

A National Summit on Africa will be held in Washington, D.C., in February 2000. Its three interrelated aims are to educate the U.S. public about Africa and current U.S.–Africa relations; to broaden and strengthen the network of supporters of Africa in the United States; and to develop an agenda for guiding U.S. relations with Africa. Modeled on United Nations conferences, the summit is holding preparatory meetings around the United States to foster debate on the importance of Africa to the United States and on U.S. involvement in the continent's renewal. Recommendations from these meetings, together with comments from African reviewers, will be considered at the summit. The Ford Foundation is the summit's largest single supporter.

Leonard Robinson, President and CEO. (www.africa-summit.org)

Emory University, Atlanta, GA. Archbishop Desmond Tutu's sabbatical work. One year, \$115,600.

Following the installation of its first democratic government in 1994, South Africa established the Truth and Reconciliation Commission, a public forum in which violators of human rights under apartheid were offered amnesty from prosecution in exchange for full disclosure and acknowledgment of their crimes. The commission, chaired by Archbishop Desmond Tutu, helped lay the foundation for postapartheid reconciliation. Now on sabbatical at Emory University, Archbishop Tutu is writing about the commission and giving speeches to specialized and general audiences in the United States. His aim is to clarify the principles underpinning the process and to discuss its moral and political dimensions. A book documenting the experience and promoting the approach as a strategy for peacebuilding in situations of transition from authoritarian rule to participatory democracy will be the final outcome of his project.

Charles R. Foster, Interim Dean, Candler School of Theology.

Community Foundation for the Western Region of Zimbabwe, Bulawayo, Zimbabwe. Support (final). Three years, \$150,000.

The Community Foundation for the Western Region of Zimbabwe, launched in March 1998, supports community development initiatives in Zimbabwe's three poorest provinces—Matebeleland North and South and the Midlands. In October 1998, the foundation awarded its first seven grants for projects that correspond to its four grantmaking themes: education for children, agriculture and access to water, youth development, and assistance to women. Over the next three years, the foundation will continue to strengthen its grantmaking and institutional capacity, expand its donor base, and build its endowment. The Corporation and the Open Society Initiative for Southern Africa provide core support.

Josephat Tshuma, Chairman.

DISCRETIONARY GRANTS

Africa Leadership Foundation, New York, NY

Toward participation by General Olusegun Obasanjo in meetings on current African and global issues, \$25,000

American Academy of Arts and Sciences, Cambridge, MA

Toward planning an issue of *Daedalus* on South Africa, \$25,000

Association of African Universities, Accra-North, Ghana

Toward a conference of rectors, vice-chancellors, and presidents of African universities, \$25,000

Association of African Universities, Accra-North, Ghana

As a final grant for the collection and dissemination of science and technology information produced in African universities, \$25,000

Foro Nacional/Internacional, Lima, Peru

As a final grant toward research and writing by Francisco R. Sagasti on the role of science and technology in the process of development, \$25,000

Global Fund for Women, Palo Alto, CA

Toward a project to strengthen its work in Africa, \$25,000

Institute for a Democratic Alternative for South Africa, Arcadia, South Africa

Toward a book by Alexander Boraine on the South African Truth and Reconciliation Commission, \$25,000

National Endowment for Democracy, Washington, DC

Toward a conference on French, American, and African perspectives on democracy in Africa, \$18,820

National Foundation for the Improvement of Education, Washington, DC

Toward the dissemination of educational materials and videotapes of the *Frontline* television broadcast "The Long Walk of Nelson Mandela," \$25,000

National Summit on Africa, Washington, DC

Toward support, \$25,000

Eleanor Roosevelt Val-Kill, Hyde Park, NY

Toward a lecture series on the unfinished human rights agenda on the 50th anniversary of the Universal Declaration of Human Rights, \$25,000

Synergos Institute, New York, NY

For developing a plan to foster linkages between the Community Foundation for the Western Region of Zimbabwe and multilateral and bilateral donors, \$25,000

Democracy/Special Projects

The Democracy program has three major foci: electoral reform; intergroup relations; and implications of the widened income gap.

Electoral Reform. *Campaign Finance Reform.* The Corporation will continue supporting on a limited basis high-level expertise and public debate on the problems and challenges of campaign finance reform, placing emphasis on reform on the state and local level. The foundation is supporting research on and analysis of campaign contributions and expenditures; the development of model campaign finance laws so that policymakers and others have a range of possible options for implementation; and the training of state and local media representatives on how to follow the money.

Other Campaign Practices. Negative campaigning, the diminution of voter education campaigns, and despair over the effectiveness of public engagement are all factors driving voters from the polls. As the 2000 elections approach, the Corporation will consider projects that aim to improve the tenor of campaigns and campaign practices; improve public access to information on candidates and issues; and strengthen news media coverage of campaigns and candidates.

Intergroup Relations. The Corporation's work on intergroup relations will bridge that of the Democracy and Education programs, the latter of which is winding up its activities in youth intergroup relations. Still in development, this subprogram will search for effective ways of fostering continued public dialogue about issues of race, ethnicity, and religion in American society; promoting the full participation of immigrants and new citizens in American civic life; and addressing the social and economic implications of an aging society.

Implications of the Widened Income Gap. The U.S. economy is currently robust, with unemployment the lowest in thirty years. Yet despite the nation's improved economic performance, the real income of most working families has lost ground since 1973. Just how the Corporation may cast practical light on this complex, controversial question will be determined over the next year.

Special Projects serves as a budget allocation through which the foundation provides grants in fields that fall outside the Corporation's major program areas. Since 1983, when the board made Special Projects a specific category of grantmaking, it has focused on projects that aim to strengthen American democratic institutions and the nonprofit sector, including the philanthropic sector. In addition, major attention has been given to science policy, conflict prevention and conflict resolution, and the role of the university in society.

In its current form, Special Projects reviews cross-program initiatives and proposals for one-time only projects that, while not central to new program priorities, are related to current or past Corporation fields of interest. The Special Projects committee—comprising the Corporation's President, Vice President and Director for Strategic Planning and Program Coordination, Vice President, Public Affairs, and program chairs—occasionally requests proposals for selected grantmaking initiatives, engaging an external advisory committee to review the proposals and make recommendations to the Corporation. Tie-off grants to long-term grantees are also made through Special Projects.

Western States Center, Portland, OR. National Institute on Money in State Politics, Helena, MT. Two years, \$550,000.

Modeled on the federally focused Center for Responsive Politics, the National Institute on Money in State Politics is building a nonpartisan organization that will document and analyze campaign finances at the state level. The institute is creating a comprehensive, empirical database on state campaign finance for public interest groups, journalists, academics, public officials, and litigators working on reform. Institute staff members identify contributors by economic interest, and moreover, consolidate state information into a database that can be studied for multistate and national trends. When the data is all entered, researchers and the news media will be able to follow the special interests behind key issues across state lines.

Samantha Sanchez, Codirector, National Institute on Money in State Politics. (www.followthemoney.org)

Center for Governmental Studies, Los Angeles, CA. Resource center for state and local campaign finance reform; and development of online voter information services (final). Three years, \$500,000.

The Center for Governmental Studies encourages innovative approaches to improving democratic government. Center staff members are providing technical assistance and nonpartisan expertise to state and local policymakers and public interest groups on the implementation of campaign finance laws consistent with local political conditions. The center is also continuing the national expansion of the Democracy Network (DNet), a free online voter guide that promotes interactive dialogue between candidates and citizens. The network is being assessed as a potential alternative to paid media, the primary source of increasing campaign costs and increased campaign time spent raising funds. DNet is expected to be available in all fifty states by the 2000 elections.

Tracy Westen, President. (www.cmg.org; www.democracynet.org)

Center for Public Integrity, Washington, DC. Support. Three years, \$450,000.

Researchers at the Center for Public Integrity are preparing short descriptions of state legislatures that contain information on each state's ethics and disclosure laws, which limit the activities of policymakers. The center is putting the descriptions together with case studies that analyze the potential conflicts of interest that may arise between lawmakers' legislative duties and their outside livelihoods. The goal is to provide citizens across the United States with comprehensive information about how each legislature works. In addition, the center is releasing the 2000 edition of *The Buying of the President*, by executive director Charles Lewis, which will track campaign contribution records for each presidential candidate and assess what long-time contributors receive for their investment.

Charles Lewis, Executive Director. (www.publicintegrity.org)

Committee for Economic Development (CED), Washington, DC. Outreach and public education within the business community on campaign finance reform. Two years, \$250,000.

In March 1999, CED, a public policy organization of more than 250 business leaders and educators, released *Investing in the People's Business: A Business Proposal for Campaign Finance Reform*. The report, which acknowledges candidates' need for resources, identifies problems in the federal campaign finance system and makes a series of practical recommendations for reform. To disseminate the results of the study and build support within the business community for reform, CED is convening press conferences and debates in selected cities, holding briefings for chief executive and senior officers, and conducting business-to-business forums. Anthony Corrado, an associate professor of political science at Colby College and a leading scholar in the campaign finance reform field, directed the study.

Charles E. M. Kolb, President. (www.ced.org)

Democracy South, Chapel Hill, NC. Research and public education on money in politics; and institutional strengthening. Three years, \$375,000.

Democracy South conducts research and provides public education in the southern states on campaign finance, government accountability, and lobbying laws. In collaboration with similar organizations in Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, North Carolina, South Carolina, Tennessee, Virginia, and West Virginia, it is developing databases that will allow representatives from partner institutions, the media, and public interest groups to analyze trends in campaign contributions regionally and by economic interest. Staff members are providing technical assistance to the partner organizations on public outreach, dissemination of state research, and coding and standardizing database records.

Peter MacDowell, Executive Director. (www.all4democracy.org/demsouth)

Northeast Action, Hartford, CT. Research and public education on money in politics; and institutional strengthening. Three years, \$275,000.

To increase public participation in policy development in New England and New York, Northeast Action, formerly Northeast Citizen Action Resource Center, provides training, technical assistance, and coalition building to organizations engaged in policy reform. Under its money and politics project, Northeast Action assists with state-level research, networking, public education, and policy initiatives that have helped to bring about campaign finance reforms in Maine and Vermont and to strengthen ballot and education campaigns in several other states. Northeast Action is also collecting data on campaign contributions within the region for the National Institute on Money in State Politics, the first national repository of information and analyses on campaign finance at the state level.

David Desiderato and Cynthia Ward, Acting Codirectors. (<http://tap.epn.org/na>)

Western States Center, Portland, OR. Research and public education on money in politics; and institutional strengthening. Three years, \$275,000.

The Western States Center helps public interest organizations in its eight-state region—Alaska, Idaho, Montana, Nevada, Oregon, Utah, Washington, and Wyoming—to strengthen their training, public education, and policy development efforts. One of its four programs is the Money in Western Politics project, which monitors the role of campaign contributions in local and state elections. The project's computer database of more than 800,000 identified campaign contributions is available for use by academics, public officials, journalists, representatives of citizens' organizations, and other researchers. The project's data are to be subsumed under the National Institute on Money in State Politics' database, established jointly with Northeast Action, to allow comparative analyses on trends in campaign contributions regionally and by economic interest.

Dan Petegorsky, Executive Director. (www.epn.org/westernstates)

William J. Brennan, Jr., Center for Justice, New York, NY. Public education and technical assistance on constitutional, state, and local issues of campaign finance reform. Three years, \$450,000.

The Brennan Center for Justice, which is affiliated with New York University School of Law, assists organizations, citizens, and state and local policymakers in drafting campaign finance reform proposals for specific jurisdictions. Center staff members are defending reforms in several states and have recently completed a handbook on the legal and constitutional factors that must be considered when initiating reforms. To educate the wider public on the subject, the center is producing articles and a series of scholarly papers to be distributed to journalists, academics, and policymakers.

E. Joshua Rosenkranz, Executive Director. (www.brennancenter.org)

National Voting Rights Institute, Boston, MA. Public education on state and local campaign finance reform. Two years, \$300,000.

The National Voting Rights Institute, founded in 1994, is challenging the constitutionality of the current campaign finance system at the state and local level through a combination of litigation and public education. The institute's litigation program, which uses both a defensive and affirmative approach, is defending campaign finance reform law in Arizona, Maine, Massachusetts, and Vermont. It is also framing the campaign finance system as a voting rights issue in a series of cases brought before state and local courts on behalf of civil rights organizations and nonwealthy voters. The center's education program provides journalists, policymakers, and lawyers with information on campaign finance developments and effective strategies for implementing reforms.

John Bonifaz, Executive Director. (www.world.std.com/~nvri)

Radio and Television News Directors Foundation, Washington, DC. Training workshops for local and regional journalists on campaign finance. Two years, \$200,000.

In 1995 the Radio and Television News Directors Foundation launched a project to strengthen coverage of campaign financing at the local and regional level. Project staff members conduct training workshops for news producers, news directors, and electronic and print reporters that focus on current federal, state, and local campaign finance laws and emphasize the importance of campaign finance issues in the coverage of local and regional politics. The foundation provides related information and research tools both online and in print. To foster skilled coverage of the 2000 elections, staff members are supplementing regular workshops with half-day workshops in Iowa prior to the caucuses, in New Hampshire and California prior to the primaries, and at the Republican and Democratic national conventions.

Eric Swanson, Executive Director. (www.rtndf.org)

University of California, Berkeley, CA. A study of the impact of the 1993 National Voter Registration Act and other voter registration practices on voter turnout. Fifteen months, \$50,000.

The 1993 National Voter Registration Act—known as “motor voter”—requires states to offer voter registration by mail and as part of the application for driver's licenses and public assistance programs. Raymond E. Wolfinger, Heller Professor of Political Science at the University of California, Berkeley, is measuring the act's impact on voter participation in the 1996 elections. The study, to be published in fall 2000, will examine each state's implementation of the act and the degree to which voter participation rates can be linked to the model used. As a starting point, Wolfinger is analyzing the Current Population Survey's voter supplement, a joint project of the Bureau of Labor Statistics and the Bureau of the Census.

Raymond E. Wolfinger, Heller Professor of Political Science. (www.spo.berkeley.edu)

SPECIAL PROJECTS

Puerto Rican Legal Defense and Education Fund, New York, NY. Public education and outreach on the U.S. Census 2000 among Latino communities in the Northeast and Puerto Rico. Two years, \$100,000.

The Puerto Rican Legal Defense and Education Fund, in cooperation with its public policy arm, the Institute for Puerto Rican Policy, is launching a project designed to minimize the undercount of Latinos in the 2000 census. Its efforts will include a quarterly newsletter, community forums, a listserv on the Internet, and fax bulletins which address decisions affecting the form and content of the census and the districting and funding implications of census participation. The project complements the nationwide efforts of the Mexican American Legal Defense and Educational Fund's project to reduce the undercount of Latinos, estimated to be 5 percent in the 1980 and 1990 censuses.

Angelo Falcón, Senior Policy Executive and Director, Institute for Puerto Rican Policy. (www.iprnet.org/IPR)

National Asian Pacific American Legal Consortium, Washington, DC. Public education and outreach on the U.S. Census 2000 among Asian Pacific American communities. Two years, \$150,000.

An estimated 2.3 percent of Asian Pacific Americans in the U.S. population were undercounted in the 1990 census. The Community Census Education Program, a project of the National Asian Pacific American Legal Consortium, is encouraging Asian Pacific Americans to participate in the 2000 census through training on the census process, bilingual community education, and the establishment of an outreach network between local Asian Pacific American organizations and the Census Bureau. Program staff members are monitoring census research and test runs, developing radio announcements for stations serving Asian Pacific Americans, and producing articles and fact sheets on the policy implications of the census.

Karen K. Narasaki, Executive Director. (www.napalc.org)

Leadership Conference Education Fund, Washington, DC. Public education and outreach on the U.S. Census 2000. Two years, \$150,000.

The Leadership Conference on Civil Rights is a coalition of more than 180 organizations representing persons of color, women, persons with disabilities, older persons, gays and lesbians, labor unions, religious groups, and human rights groups. Its non-partisan, educational research arm, the Leadership Conference Education Fund, is beginning a campaign among member organizations to educate policymakers, journalists, and persistently undercounted populations about the importance of an accurate census. The fund is planning an online census education center, the broad dissemination of census material, and a national summit to coordinate outreach efforts.

Karen McGill Lawson, Executive Director. (www.civilrights.org)

National Asian Pacific American Legal Consortium, Washington, DC. Support. Three years, \$450,000.

Asian Pacific Americans, who number almost 8.8 million persons in the United States, are the nation's fastest growing minority group. The National Asian Pacific American Legal Consortium works to ensure the rights of this group, in collaboration with national and regional Asian Pacific American advocacy organizations, through legal advocacy, policy development, and public education. The consortium maintains eight program areas and provides training to local community-based organizations on building coalitions and on working with government agencies and the media. In addition, members analyze the effects of federal policies on Asian Pacific American communities and produce reports that are used by academics, journalists, and policymakers.

Karen K. Narasaki, Executive Director. (www.napalc.org)

Mexican American Legal Defense and Educational Fund (MALDEF), Los Angeles, CA. Support (final). Three years, \$750,000.

The education program at MALDEF uses litigation, advocacy, and community outreach to counter unequal access to quality education for Latinos in the United States. To support increased achievement among Latino students and improve graduation rates, MALDEF is monitoring initiatives that affect bilingual education programs and reviewing federal allocation practices and the inappropriate application of standardized testing. MALDEF staff members are intervening on behalf of families to ensure that all documented and undocumented residents of school districts are allowed school admission. In addition, they are preparing an annual report for dissemination to policymakers, journalists, and school boards on the progress of Chicago's board of education toward alleviating overcrowded school conditions.

Antonia Hernández, President and General Counsel. (www.maldef.org)

Images and Education, Somerville, MA. Culture of Peace program teaching non-violent conflict resolution techniques to school children in Jordan (final). One year, \$175,000.

The Culture of Peace program is a creative, interactive, and experiential multimedia learning program that teaches non-violent conflict resolution techniques to Jordanian school children. The program's design and implementation resulted from collaboration between the Noor Al Hussein Foundation, the Jordanian Ministry of Education, Jordan National Television, and Images and Education, a Massachusetts-based nonprofit organization specializing in the development and promotion of innovative educational activities. Under this grant, the program is increasing its funding base, enhancing its activities in Jordan, and completing plans to expand into North Africa and other countries of the Middle East.

Jamil Simon. (www.SpectrumMedia-Boston.com)

City University of New York (CUNY), New York, NY. An intellectual history of the United Nations. Two years, \$500,000.

Scholars at CUNY's Graduate School and University Center are preparing an intellectual history of the UN that focuses on the economic and social—rather than political—aspects of the UN's contribution to world peace and development. Experts are being commissioned to produce a series of monographs on UN activities, particularly those of the Economic and Social Council. In addition, members of the project's secretariat are conducting interviews with central UN figures of the past and present. The monographs and oral histories will provide the basis for three volumes on the contributions of the UN to the development of economic and social policies, the role of particular leaders within the UN system, and lessons learned. The project is also supported by the Rockefeller Foundation and the Dutch government.

Thomas Weiss, Presidential Professor of Political Science, Graduate School and University Center.

Pacific Council on International Policy, Los Angeles, CA. Support (final). Three years, \$300,000.

The Pacific Council on International Policy, a nonprofit organization headquartered at the University of Southern California, is an affiliate of the New York City-based Council on Foreign Relations. Its meetings, briefings, and workshops provide a forum for policymakers, scholars, business leaders, and religious leaders from the western United States to explore and make recommendations on domestic and international policy developments. More than 800 leaders, 20 percent of them people of color, comprise the council's membership. Previous studies have addressed immigration policy, trade policy, the Asian economic crisis, and U.S.–Latin American relations. The council's newsletter, policy briefs, and conference reports are available on its World Wide Web site.

Abraham F. Lowenthal, President. (www.pcip.org)

Tides Center, San Francisco, CA. Center for Y2K & Society, Washington, DC. One year, \$75,000.

The Center for Y2K & Society, a project of the Tides Center, was established to provide education and technical assistance to the nonprofit sector on the computer issues associated with the year 2000, commonly known as Y2K. The center aims to prevent disruptions in performance and to mitigate the effects of problems caused when the year “99” changes to “00” in computer systems. Primary emphasis is being placed on the health and social service fields and on the environmental risks of Y2K-related malfunctioning. Members of the center are using a campaign-style approach to disseminate information quickly to nonprofit organizations. The center will publish an analysis of the nonprofit and public sector response to this issue, with recommendations for handling similar technological difficulties in the future.

Norman L. Dean, Executive Director, Center for Y2K & Society. (www.y2kcenter.org)

CARNEGIE COMMEMORATIVE GRANTS TO URBAN PUBLIC LIBRARIES

Council on Foundations, Washington, DC. Membership support in 1999, 2000, and 2001. Three years, \$133,800.

Established in 1949 as the National Committee on Foundations and Trusts for Community Welfare, the Council on Foundations is an association of nearly 1,800 members representing every sector of the grantmaking community, including independent, family, and operating foundations; public and community foundations; corporate giving programs; and non-U.S. grantmakers. Its members hold 60 percent of all U.S. foundation assets. To promote and enhance responsible philanthropy, the council provides members with educational programs, professional development, and networking opportunities. Based on a percentage of assets, the minimum dues are \$400; the Corporation pays dues of \$45,000 per year, treating the difference—\$44,600 per year—as a grant.

Dorothy S. Ridings, President and Chief Executive Officer. (www.cof.org)

Carnegie Corporation of New York, New York, NY. Fund for the preservation and dissemination of the oral history of Carnegie Corporation. Four months, \$70,000.

Scholars based at the Oral History Research Office of Columbia University are in the final phase of recording and processing interviews for the second oral history of the Corporation, initiated in 1996 and covering the period from 1968 to the present. Members of the research team are travelling to South Africa to examine the Corporation's support of South Africa's transition to a democratic society. The material is to become part of a video on the topic, produced by Galen Films. In addition, the team is developing a joint subject index for the first and second histories and transferring the first oral history—covering the period from 1911 to 1968—from audiotape to digital tape for preservation.

Dorothy Wills Knapp, Corporate Secretary and Program Officer. (www.carnegie.org)

The New York Public Library, New York, NY. Adult literacy projects, special acquisitions to strengthen core collections, and preservation of materials at the Schomburg Center for Research in Black Culture. Eighteen months, \$2,000,000.

In 1901, Andrew Carnegie provided a \$5.2 million grant to New York City to establish 65 branch libraries in the five boroughs. Manhattan, the Bronx, and Staten Island are part of the New York Public Library, founded in 1895. The libraries of Queens and Brooklyn have their own systems. Corporation funds are being used to enhance the system's adult literacy programs to benefit non-English speakers; preserve rare and unique films in the Donnell Media Center of the Donnell Branch Library; and augment selected library collections. This grant will also be used to preserve rare newspapers, monographs and serials, and sound recordings at the Schomburg Center for Research in Black Culture.

Paul LeClerc, President and Chief Executive Officer. (www.nypl.org)

Brooklyn Public Library, Brooklyn, NY. Reading program for children and core collections for English speakers of other languages. Eighteen months, \$1,000,000.

Andrew Carnegie provided funds in 1901 to build 21 branches of the Brooklyn Public Library. The library system now has 58 branches, 19 of them original Carnegie buildings. This grant is enhancing several systemwide initiatives to encourage reading skills and lifelong reading among children up to age 12 and to improve reading, writing, and conversational skills in English among Brooklyn's growing immigrant population. The library is also building up its core collections for English Speakers of other Languages (ESOL) in all branches.

Martín Gómez, Executive Director. (www.brooklynpubliclibrary.org)

Queens Borough Public Library Foundation, Jamaica, NY. Enhancement of special collections in the social sciences, math and science, and on diversity. One year, \$1,000,000.

Part of Andrew Carnegie's \$5.2 million grant in 1901 to build branch libraries in New York City benefited the Queens Borough Public Library. The busiest of any library system in the United States, it circulated 16 million items in 1998. Its 62 branches and Central Library serve an ethnically diverse population, and materials are purchased in over 50 languages each year. Funds are enhancing research-level collections on the countries and languages of Eastern Europe and Africa in the Flushing Library's International Resource Center, a state-of-the-art facility situated on the site of the original Flushing Branch Library, which was funded by Andrew Carnegie. In 1998, more than 110,000 children participated in after-school programs offered by the library system at half its branches. Under this grant, the library is making available to children new materials on other cultures and languages as well as on math and science.

Gary E. Strong, Director. (www.queenslibrary.org)

Atlanta-Fulton Public Library System, Atlanta, GA. Multicultural literacy project. One year, \$500,000.

Andrew Carnegie's gift to establish the Atlanta-Fulton Public Library was made in 1899, with the building completed in 1902. Today, with 35 facilities (the downtown Central Library, the Research Library on African American Culture, and 33 branches) and two bookmobiles, it serves more than 3.5 million people in Fulton County and beyond. The grant is helping the entire library system build three core circulating collections to meet the needs of its burgeoning constituency of young and adult non-English speakers and those with low levels of literacy or English-language learning. A multicultural literacy resource committee is managing the project, and widespread efforts are being made to let the public know about these resources.

E. Paulette Smith-Epps, Assistant Director of Public Services. (www.af.public.lib.ga.us)

Biblioteca Carnegie, San Juan, Puerto Rico. Development of a young adult collection and outreach programs for young adults. Two years, \$500,000.

The Biblioteca Carnegie was created with Andrew Carnegie's gift in 1916. Partly devastated during Hurricane Hugo in 1989, it has been refurbished and reopened in 1995. Rather than branches, it has bookmobiles that circulate throughout the metropolitan area. The library is developing a young adult collection as part of the library's outreach to adolescents in an effort to improve high school retention rates. To encourage reading and learning, the bookmobiles will visit high schools twice a month for two hours in the afternoons. Talks and programs will be presented on topics of interest to young people, and students will be encouraged to use the main library's computers to research topics on the Internet.

Josefina Gómez de Hillyer, Director.

Boston Public Library Foundation, Boston, MA. Creation of neighborhood history centers and expansion of literacy services. One year, \$500,000.

Founded in 1848, the Boston Public Library is the oldest municipally funded library in the U.S., with 25 branches. The library is creating neighborhood history centers in seven of its branches, drawing on local historical collections that these branches already own. Materials will undergo preservation treatments to make them suitable for public display. There are in the Boston area nearly one million adults and their children who are in need of assistance in mastering basic literacy skills. A second project, therefore, is to expand the literacy services throughout all branches by enhancing the two existing literacy centers in the system. In addition, family literacy programs are being launched, to include support for new mothers to help their children with reading fundamentals.

Nader F. Darehshori, Board of Directors. (www.bpl.org)

Carnegie Library of Pittsburgh, Pittsburgh, PA. Systemwide preservation and access project. One year, \$500,000.

Andrew Carnegie's offer in 1881 to give a library building to the city of Pittsburgh was at first refused, but the gifts were finally made beginning in 1890. The Carnegie Library of Pittsburgh is using Corporation support to implement phase one of a three-phase project to preserve and conserve materials, including more than 80,000 photographic prints and negatives, about Carnegie's life and about the history of industrialism in southwestern Pennsylvania. The eight original Carnegie branch libraries also have rich stores of historical documents, including reports filed by librarians documenting the impact of the branches on their neighborhoods.

Herbert Elish, Director. (www.clpgh.org)

Chicago Public Library, Chicago, IL. Teen reading project. One year, \$500,000.

There are at least 500,000 adolescents in the city of Chicago who are underserved by their neighborhood libraries. Many of these young people lose interest in reading after the sixth grade. Using Corporation support, Chicago Public Library, which celebrated its 125th anniversary in 1998, is building a collection of books and expanding library services for young adults in each of its 78 branches. The aim is to encourage a habit of reading and an interest in life-long learning. Book titles cover fiction and nonfiction written specifically for teenagers. Free public programs such as author readings, reading programs, and teen book discussions are being featured throughout the year. The library is in the midst of a citywide neighborhood library capital construction program, and it is expected that in 2001 about 70 percent of its buildings will be fully renovated or replaced, with expanded collections.

Mary A. Dempsey, Commissioner. (www.chipublib.org)

Cleveland Public Library, Cleveland, OH. Literacy project for young children. Eighteen months, \$500,000.

Between 1903 and 1914, Andrew Carnegie gave funds to Cleveland for the construction of 15 branch libraries; there are now 28. Despite such resources, the literacy level of children in Cleveland is among the lowest in the nation; the poverty level—43 percent according to the 1990 U.S. Census—is among the highest. Cleveland Municipal Schools estimate that 30 percent of the city's children enter the first grade deficient in language development. The Cleveland Public Library is determined to make a difference for these children. The library is establishing early childhood learning environments in all its branches, involving small-group programs for children from infancy up to age 5 and their adult caregivers; links between all the branches and area child care centers are being forged and training institutes conducted on early childhood issues for all children's librarians and support staff and for neighborhood parents, local educators, and child care providers.

Andrew A. Venable, Jr, Director. (www.cpl.org)

Denver Public Library, Denver, CO. Special acquisitions for foreign-language collections, enhancement of services to children, augmentation of core collections. One year, \$500,000.

The first Denver Public Library was established in 1889. Andrew Carnegie's grant in 1903 paid for a new main library building, which was completed in 1910. Additional grants from the Corporation between 1913 and 1918 built 8 branches, now expanded to 22. The population of Denver is changing fast. The acquisition of new bilingual materials in Chinese, English, Korean, Russian, Spanish, and Vietnamese is crucial in ensuring that the library keeps pace with public demand. The grant is being used to purchase these materials and also to support reading programs for children and their parents in low-income neighborhoods. Additionally, the funds are helping to refresh nonfiction collections in the branches.

Rick J. Ashton, City Librarian. (www.denver.lib.co.us)

Detroit Public Library, Detroit, MI. Project for young adolescents. One year, \$500,000.

Andrew Carnegie's gift established the Detroit Public Library in 1901. In recent decades, the city's young adolescents have been disproportionately affected by the downturn in the city's economy, as have the library's twenty-four branches and bookmobile services. With this grant, the library is rebuilding and updating its materials for adolescents ages ten to fourteen, supplying each branch with a complete set of high-interest fiction, recorded books, and curriculum support materials. The library is also working with the YES Foundation, a community-based membership organization offering educational enrichment to youths, to develop a monthly youth-oriented program at each branch.

Maurice B. Wheeler, Director. (www.detroit.lib.mi.us)

District of Columbia Public Library, Washington, DC. Expansion of community languages collections, literacy services, and services to adolescents and development of special resources on the Harlem Renaissance. One year, \$500,000.

Andrew Carnegie's gift established the central library and three branches in 1898. In 1997, the district experienced a public school dropout rate of 44.5 percent with roughly half of the students leaving by the eighth grade. There are growing numbers of Chinese, Hispanics, Koreans, and Vietnamese in need of literacy services. The library is establishing a computer-assisted literacy instruction center in the Southwest Branch, developing a literacy Web site, enhancing outreach to students in junior high and middle schools, developing resources on the Harlem Renaissance in the district, and acquiring materials in community languages and new media.

Mary E. Raphael, Director. (www.dclibrary.org)

Enoch Pratt Free Library, Baltimore, MD. Expansion of services to youth, parents, and caregivers and enhancement of foreign-language collections. One year, \$500,000.

Andrew Carnegie gave \$500,000 in 1906 to Baltimore's Enoch Pratt Free Library to construct 15 branch libraries; these have now grown to 26. Designated the State Library Resource Center, the Pratt Library has been the principal provider of extensive references and material resources for citizens and library systems throughout the state. With these funds the library is extending the Family Place Project, a national initiative to support family-centered services, to more branches. Additionally, it is purchasing electronic access to resources and educational videos in Spanish as well as English and upgrading collections for African Americans (who comprise 60 percent of the surrounding population) and for non-English speakers of Greek, Hispanic, Italian, Russian, and Asian/Pacific Island descent.

Carla D. Hayden, Director. (www.pratt.lib.md.us)

Free Library of Philadelphia Foundation, Philadelphia, PA. Enhancement and expansion of an afterschool program. One year, \$500,000.

The Free Library of Philadelphia and its 52 branch and regional libraries serve more than 1.5 million citizens, circulating in excess of 6 million books and other materials annually. When Andrew Carnegie funded the library's 25 branches in 1903, he wrote, "The Branch Libraries are the most popular institution of all, and, I think, the most useful. A great Central Library is, of course, needed, but even before it in usefulness I place the local libraries, which reach the masses of people." Project LEAP (Learn, Enjoy, Play), initially funded by Pew Charitable Trusts, other foundations, and corporations, provides after-school homework help, computer-assisted learning, and educational enrichment to more than 57,000 students through grade eight at 35 branch libraries.

Elliot L. Shelkrot, President and Director. (www.phila.gov)

Houston Public Library, Houston, TX. Library programs for Hispanic users. Twenty-six months, \$500,000.

The Houston Public Library, which received a substantial grant from Andrew Carnegie in 1899, is creating a series of programs under the title *De Colores: Programas de la Biblioteca* (A Multitude of Colors: Library Programs) to attract Hispanic children and their families to its 35 branch libraries. Surveys indicate that less than 25 percent of all library customers in the city are of Hispanic background, yet Hispanics make up 29 percent of the city's population. The funds will permit the library to enhance current services to adolescents and youth, such as its summer reading program and theme month events, and launch a strong outreach effort to bring in new users. Coupled with the enhanced programming is a plan to develop related book, music, and video collections in the branches.

Barbara A. B. Gubbin, Director. (www.hpl.lib.tx.us)

Indianapolis-Marion County Public Library Foundation, Indianapolis, IN. Enhancement and expansion of foreign-language collections. One year, \$500,000.

Indianapolis is responding to its growing Hispanic, Asian, Russian, Serbian, Croatian, and Albanian populations by purchasing additional print and nonprint materials in these languages and training library staff and translators to create associated brochures and library cards. The number of Hispanic residents in the city has grown from 8,000 in 1990 to as high as 80,000 today. The library is making special efforts to reach these residents through Spanish-language videos, audiocassettes, CDs, and magazines, while also working to improve English-language skills. To promote reading within the home, the library is developing a small paperback basic home library for distribution in the branches. Approximately 4,000 sets will contain a dictionary, family medical guide, an almanac, family read-aloud guide, and paperbacks geared to the age levels of children.

Edward Szynaka, Director of Public Libraries. (www.imcpl.lib.in.us)

Kansas City Public Library, Kansas City, MO. Expansion of the Books to Better Our Lives collection. One year, \$500,000.

With this grant, the library is expanding its Books to Better Our Lives collection to each of the system's nine branches. The core collection contains books on personal finance, cooking, religion and spirituality, resumé writing and job hunting, parenting, health and wellness, educational advancement, and government test books for young adults. The library is also purchasing easy reader and audio versions of books in Spanish, Vietnamese, Russian, and the languages of twenty-five other countries. The library's collection specialist is working with the library staff and other agencies to create culturally appropriate programs for each branch.

Daniel J. Bradbury, Executive Director. (www.kcpl.lib.mo.us)

Los Angeles Public Library, Los Angeles, CA. Expansion of an after-school reading club for children. One year, \$500,000.

The Los Angeles Public Library, a beneficiary of Andrew Carnegie's gift in 1912 to build 10 library branches, now has 67 branches and 4 bookmobiles serving the largest population of any library system in the United States. Eighty percent of the children from kindergarten through grade three in the Los Angeles Unified School District are not reading at grade level. The city has one of the highest illiteracy rates in the country. With Corporation funds, the library is expanding its 2000 Reasons to Read after-school and summer reading enrichment program for children from preschool through age eleven, complementing literacy programs for other age groups. The library expects to reach 50,000 children through the neighborhood and main libraries. Books are being purchased in English and other languages.

Susan Kent, City Librarian. (www.lapl.org)

Miami-Dade Public Library System, Miami, FL. Acquisition of foreign-language materials for immigrant populations. One year, \$500,000.

Sixty-four percent of Miami-Dade County's population of 1.7 million people is foreign born. The Cuban immigration beginning in the 1960s, followed by the Haitian and Central American in more recent decades, has changed the area's character, with an estimated 250,000 adults functionally illiterate in English. While the library system has always provided foreign-language materials, the collection is inadequate to meet demand. This grant is being used to purchase language instruction books, audiocassettes, videos, and reading materials in English, Spanish, French, and Creole. Citizenship classes in the branches are to be supplied with books on citizenship and the immigration process. Books are also being purchased on a range of other practical subjects, along with bilingual materials to foster family literacy and cross-cultural understanding.

Raymond Santiago, Director of Libraries. (www.mdpls.org)

Minneapolis Public Library, Minneapolis, MN. Services for immigrant families and students. Two years, \$500,000.

The Carnegie Gateway Project is a plan to revitalize and expand successful library services and programs for new immigrants, aimed particularly at supporting Hispanic, East African, and Southeast Asian immigrant families in their transition to life in Minneapolis. Seven branches located in the central city are enhancing their parent education and outreach services to immigrant families with young children and expanding their provision of drop-in tutorial assistance for students at all grade levels. The grant will also enable the library to reach more adults in need of literacy instruction in English and citizenship education at the Franklin Learning Center, located within one of the city's three Carnegie libraries. Associated collections and computer equipment will be augmented with the grant.

Mary Lawson, Director. (www.mpls.lib.mn.us)

Newark Public Library, Newark, NJ. Citywide branch revitalization project. One year, \$500,000.

Founded in 1888, the Newark Public Library maintains ten neighborhood branches in all corners of the city. These branches serve a university and commuter population of 120,000 and an urban population of more than 250,000 ethnically diverse residents, the majority of whom are African American or Hispanic. Branch 2000 is a plan to upgrade collections and services at all branch libraries in the system. The grant is permitting the library to enhance existing projects. The idea is to target Newark's 86,000 children and youth, ages 5 to 19, through two programs in collaboration with the public schools: the Community Health Information Project and the All-Branch Collection Development Project. The former program is a significant source of vital health information for the city's adolescents and is being expanded from four to ten branches.

Alex Boyd, Director. (www.npl.org)

New Orleans Public Library, New Orleans, LA. Enhancement of collections for young children, adolescents, and teenage parents. Fifteen months, \$500,000.

Financing for the New Orleans Public Library has declined over the past decade as the tax base has eroded and costs have increased. A high proportion of the student population in Orleans Parish is poor, and many young people are deficient in basic literacy and numeracy skills. The grant is being used to build up the library's collection of books and other materials for young children, adolescents, and teenage parents and to expand reading and literacy programs for these groups.

Gertiana C. Williams, Acting City Librarian. (www.gnofn.org/~nopl/)

San Antonio Public Library Foundation, San Antonio, TX. Enhancement of library services to children. One year, \$500,000.

In 1903, when Andrew Carnegie gave money to build its public library, San Antonio was a frontier town of 30,000. Today it is the tenth largest city in the United States, with 1.4 million people. A majority are from minority backgrounds, primarily Mexican American, of whom 70 percent live in poverty. More than one-third of all ninth graders will not graduate from high school. Even so, nearly 500,000 people have library cards and are avid users. To meet rising demand for materials for the city's children and foster a love of reading and learning, the library is using the grant to purchase 1,300 new books, tapes, and videos for each of its 18 branches and to pay for multi-media workstations and interactive CD-ROM programs, together with promotional materials, for children from preschool through the sixth grade. The library has launched a campaign to raise \$8 million for its 100th anniversary by the year 2003.

Nancy Gandara, Acting Director. (www.sat.lib.tx.us)

San Francisco Public Library, San Francisco, CA. Initiative to improve academic and job information available to adolescents. One year, \$500,000.

A Carnegie grant promised in 1901 but not actually appropriated until 1912 built the San Francisco Public Library and 5 branches; these have grown to 26. High School and Beyond was created by the library to assist adolescents in making informed choices about their future. Through its collections and a series of workshops, it provides information to both college and non-college-bound youth about secondary schools and about colleges, careers, and programs in the Bay Area. Teens get help with SAT preparation, applications for scholarships, college and university selections, apprenticeships, vocational training, job preparedness, and job opportunities. Plans are to have a teen librarian in each of the system's six resource branches as well as in the main library. The grant is augmenting these services.

Susan Hildreth, Deputy City Librarian. (www.sfpl.lib.ca.us)

Seattle Public Library Foundation, Seattle, WA. Enhancement and expansion of special collections of music and film for branch libraries. One year, \$500,000.

Andrew Carnegie's grant in 1901 built the Seattle Public Library. The library now proposes to revitalize its 22 branches by providing each with a core collection of videos, classic cinema, and compact discs of basic collections of music in all fields—classical, pop, country, jazz, rhythm & blues, and others. Currently the neighborhood collections are small and wearing out. Each branch's collection is being prepared to reflect the tastes, background, and interests of its neighborhood and to bridge cultural divides.

Deborah L. Jacobs, City Librarian. (www.spl.lib.wa.us)

DISCRETIONARY GRANTS

Applied Research and Development International, Denver, CO

For support of capacity building, \$25,000

Article 19, The International Centre Against Censorship, London, United Kingdom

Toward establishing an interactive Web site, \$25,000

Association of Graduates of the United States Military Academy, West Point, NY

For a summer internship for a faculty member of the U.S. Military Academy, \$6,400

Center for Investigative Reporting, San Francisco, CA
Toward a documentary on the campaign financing of judicial elections, \$25,000

Children's Television Workshop, New York, NY

Toward an international symposium to evaluate a joint Israeli/Palestinian production of *Sesame Street*, \$25,000

Close Up Foundation, Alexandria, VA

Toward expenses associated with transferring a school-based citizen education and voter registration program from People For the American Way to the Close Up Foundation, \$25,000

Columbia University, New York, NY
Toward the convening by the Graduate School of Journalism of three conferences on the future of journalism education, \$25,000

Columbia University, New York, NY
For an oral history of the activities of Carnegie Corporation of New York in South Africa, \$25,000

Committee for the Study of the American Electorate, Washington, DC
Toward support, \$25,000

Council for Excellence in Government, Washington, DC
Toward a book on the most important executive positions in the U.S. government, \$25,000

Curtin University of Technology, Perth, Australia
Toward research by Michael White on American philanthropy in Australia and New Zealand from 1925 to 1962, \$10,000

Democracy 21 Education Fund, Washington, DC
Toward public education on soft money contributions in elections, \$25,000

Human Serve Campaign, New York, NY
Toward a final report and archives, \$10,000

Hunter College of the City University of New York, New York, NY
Toward a model project of the Brookdale Center on Aging to obtain a complete count of the elderly in the 2000 Census, \$25,000

Images and Education, Somerville, MA
Toward the Culture of Peace program teaching non-violent conflict resolution techniques to school children in Jordan, \$25,000

Independent Production Fund, New York, NY
Toward research and development of a television series on Islam, \$25,000

Independent Sector, Washington, DC
Toward membership support in 1999 and 2000, \$20,500

Institute for Advanced Study, Princeton, NJ
As a final grant toward a study of the establishment of Millennium Institutes for Science and Technology in Chile, Argentina, and Brazil, \$20,000

Massachusetts Institute of Technology, Cambridge, MA
Toward a history of African Americans at the Massachusetts Institute of Technology, \$25,000

Midwest States Center, Prairie Farm, WI
Toward a seminar for the news media on campaign financing, \$25,000

National Academy of Sciences, Washington, DC
As a final grant toward printing and dissemination of the final report of the second national forum on linking science and technology to society's goals, \$24,800

National Academy of Sciences, Washington, DC
Toward a study of science, technology, and health issues and U.S. foreign policy, \$25,000

National Association of Secretaries of State, Lexington, KY
Toward an initiative on civic participation and voting directed toward young people, \$25,000

National Black United Fund, Newark, NJ
For its strategic planning process, \$25,000

National Charities Information Bureau, New York, NY
Toward support, \$22,500

National Council for History Education, Westlake, OH
Toward a conference on elementary and middle school history education, \$25,000

National Institute of Social Sciences, New York, NY
Toward its centennial program and publications, \$5,000

National Public Radio, Washington, DC
Toward expanded news coverage of financial influence in political decision making, \$25,000

Native American Rights Fund, Boulder, CO

Toward an evaluation of the Rosebud Sioux tribe's education code and department, \$20,000

New York Academy of Sciences, New York, NY

As a final grant toward meetings on science policy, \$10,000

New York Regional Association of Grantmakers, New York, NY

Toward membership support in 1999 and 2000, \$20,000

Nonprofit Coordinating Committee of New York, New York, NY

Toward membership support in 1999, 2000, and 2001, \$2,925

Princeton Project 55, Princeton, NJ

Toward expansion of civic leadership initiatives by Princeton alumni class of 1955, \$25,000

Public Campaign, Washington, DC

For institutional development, \$25,000

South Carolina ETV, Columbia, SC

Toward civic outreach and public education for a documentary by Hedrick Smith on community solutions to local crime problems, \$25,000

Publications and Nonprint Materials

In seeking to fulfill Andrew Carnegie's mission to promote "the advancement and diffusion of knowledge and understanding," the Corporation funds studies, research and writing, and similar projects that often result in print, film/video, audio, and electronic materials for public dissemination. More than 1,000 books, reports, textbooks, and curricula have been published with Corporation grants in the past fifteen years. Although a high proportion are intended for academic and professional readers and other specialists, quite a few have reached a broad audience, and the ideas have taken root in policy and practice. Electronic publishing has become an increasingly important arena for dissemination, and many of the Corporation's grantees now have Web sites, which are listed in the grant descriptions, pp. 26 through 63.

Among recent publications that explored issues central to the Corporation's programs are *From Generation to Generation: The Health and Well-Being of Children in Immigrant Families*, edited by Evan Charney and Donald J. Hernandez, *Reducing Prejudice and Stereotyping in Schools*, by Walter Stephan, *Civil Society in Central Asia*, edited by M. Holt Ruffin and Daniel Waugh, *The Self-Restraining State: Power and Accountability in New Democracies*, edited by Andreas Schedler, Larry Diamond, and Marc F. Plattner, and *The State of Working America 1998-99*, by Lawrence Mishel and Jared Bernstein. The series of interdisciplinary teacher's guides on human biology, which

includes *Breathing*, *Ecology*, *Lives of Cells*, and *Nervous System* (Everyday Learning), is indicative of the Corporation's interest in high-quality middle grade curricula and teacher training materials. The Corporation's support of compelling audiovisual materials is exemplified by "The Long Walk of Nelson Mandela" (PBS Home Video).

The following selections of publications and nonprint materials resulting from grants were received by the Corporation in 1998-99. The list does not include papers published in journals, newspapers, magazines, or books. The materials are listed by program area.

EDUCATION

Breathing, an interdisciplinary life science curriculum for the middle grades, by James V. Lawry and H. Craig Heller (Chicago, IL: Everyday Learning, 1999)

Digestion and Nutrition, an interdisciplinary life science curriculum for the middle grades, by H. Craig Heller, Mary L. Kiely, and Stan Ogren (Chicago, IL: Everyday Learning, 1999)

"Early Messages: Facilitating Language Development and Communication," vhs videotape (Sacramento, CA: California Department of Education, 1998)

Ecology, an interdisciplinary life science curriculum for the middle grades, by Robert B. Blair (Chicago, IL: Everyday Learning, 1999)

First Talk: A Teen Pregnancy Prevention Dialogue among Latinos, by Bronwyn Mayden, Wendy Castro, and Megan Annitto (Washington, DC: CWLA Press, 1999)

From Generation to Generation: The Health and Well-Being of Children in Immigrant Families, edited by Donald J. Hernandez and Evan Charney (Washington, DC: National Academy Press, 1998)

Genetics, an interdisciplinary life science curriculum for the middle grades, by H. Craig Heller and Angelo Collins (Chicago, IL: Everyday Learning, 1999)

Imaging Education: The Media and Schools in America, edited by Gene I. Maeroff (New York, NY: Teachers College Press, 1998)

Issues in Education Research: Problems and Possibilities, edited by Ellen Condliffe Lagemann and Lee S. Shulman (San Francisco, CA: Jossey-Bass, 1999)

Lives of Cells, an interdisciplinary life science curriculum for the middle grades, by Ellen Porzig (Chicago, IL: Everyday Learning, 1999)

"Media Literacy: The New Basic Video Conference," VHS videotape (Newark, NJ: New Jersey Network, Newark Studio, 1996)

The Middle School Concept: Why It Works: A Research-Based Communication Tool, kit containing handout, CD-ROM, copy of the National Middle School Association's "This We Believe" and an abridged copy of the Corporation's *Turning Points* (Westerville, OH: National Middle School Association, 1999)

"The National Observance of Children's Sabbaths: Raising Voices, Linking Hands for Children," VHS videotape (Washington, DC: Children's Defense Fund, 1998)

Nervous System, an interdisciplinary life science curriculum for the middle grades, by James V. Lawry and H. Craig Heller (Chicago, IL: Everyday Learning, 1999)

"Reach Out and Read: Pediatric Provider Training," VHS videotape (Boston, MA: Boston Medical Center, 1998)

Reducing Prejudice and Stereotyping in Schools, by Walter Stephan (New York, NY: Teachers College Press, 1999)

Reproduction, an interdisciplinary life science curriculum for the middle grades, by Herant Katchadourian (Chicago, IL: Everyday Learning, 1999)

A Science Odyssey, VHS videotapes (Boston, MA: WGBH, 1998)

"Reality is Relative: I Feel the Earth Move"

"Technologies R Us: Blips, Black Holes and the Nobel Prize"

"The Mismeasure of Me: The Real Dirt on Discovery"

Sexuality, an interdisciplinary life science curriculum for the middle grades, by Herant Katchadourian (Chicago, IL: Everyday Learning, 1999)

Standards for Excellence in Education, kit containing CD-ROM, three-ring binder, guide for parents, teachers, and principals for evaluating and implementing standards for education, three charts, and four booklets (Washington, DC: Council for Basic Education, 1998)

Your Changing Body, an interdisciplinary life science curriculum for the middle grades, by Herant Katchadourian (Chicago, IL: Everyday Learning, 1999)

INTERNATIONAL PEACE AND SECURITY

America and the Muslim Middle East: Memos to a President, by Philip D. Zelikow and Robert B. Zoellick (Washington, DC: Aspen Institute, 1998)

Arms on the Market: Reducing the Risk of Proliferation in the Former Soviet Union, edited by Gary K. Bertsch and Suzette R. Grillo (New York, NY: Routledge, 1998)

Bridging the Gap: A Future Security Architecture for the Middle East, by Shai Feldman and Abdullah Toukan (Lanham, MD: Rowman and Littlefield, 1997)

Building Peace in Haiti, by Chetan Kumar (Boulder, CO: Lynne Rienner, 1998)

Civil Society in Central Asia, edited by M. Holt Ruffin and Daniel Waugh (Seattle, WA: University of Washington Press, 1999)

Growing Pains: Russian Democracy and the Election of 1993, by Timothy J. Colton and Jerry F. Hough (Washington, DC: Brookings Institution Press, 1998)

Mexico: The Remaking of an Economy, second edition, by Nora Lustig (Washington, DC: Brookings Institution Press, 1998)

Policing the New World Disorder: Peace Operations and Public Security, edited by Robert B. Oakley, Michael J. Dziedzic, and Michael J. Goldberg (Washington, DC: National Defense University Press, 1998)

Post-Conflict Eritrea: Prospects for Reconstruction and Development, edited by Martin Doornbos and Alemseged Tesfai (Lawrenceville, NJ: Red Sea Press, 1999)

Preventive Defense: A New Security Strategy for America, by Ashton B. Carter and William J. Perry (Washington, DC: Brookings Institution Press, 1999)

The Self-Restraining State: Power and Accountability in New Democracies, edited by Andreas Schedler, Larry Diamond, and Marc F. Plattner (Boulder, CO: Lynne Rienner Publishers, 1999)

Stabilizing Nigeria: Sanctions, Incentives, and Support for Civil Society, by Peter M. Lewis, Pearl T. Robinson, and Barnett R. Rubin (New York, NY: Century Foundation Press, 1998)

Subregional Cooperation in the New Europe: Building Security, Prosperity and Solidarity from the Barents to the Black Sea, edited by Andrew Cottey (New York, NY: St. Martin's Press, 1999)

INTERNATIONAL DEVELOPMENT

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Calidad de la Educación: Políticas Instrumentadas en Diversos Países, by Carlos Muñoz Izquierdo, Lorena Villa Lever, and Alejandro Márques Jiménez (Mexico City, Mexico: Fundación Mexicana para la Salud, 1997)

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DEMOCRACY/SPECIAL PROJECTS

The New Physical Anthropology: Science, Humanism, and Critical Reflection, edited by Shirley C. Strum, Donald G. Lindburg, and David Hamburg (Upper Saddle River, NJ: Prentice-Hall, 1999)

Philanthropy and the Nonprofit Sector in a Changing America, edited by Charles T. Clotfelter and Thomas Ehrlich (Bloomington, IN: Indiana University Press, 1999)

The Political University: Policy, Politics, and Presidential Leadership in the American Research University, by Robert M. Rosenzweig (Baltimore, MD: Johns Hopkins University Press, 1998)

The State of Working America 1998–99, by Lawrence Mishel and Jared Bernstein (Ithaca, NY: Cornell University Press, 1999)

Financial
Report

Carnegie Corporation had an outstanding year in fiscal 1999, generating a total return of 22.8 percent net of fees. This performance exceeds the policy target benchmark of 17.3 percent by a wide margin of 5.5 percent and places the Corporation in the top one-fifth of the

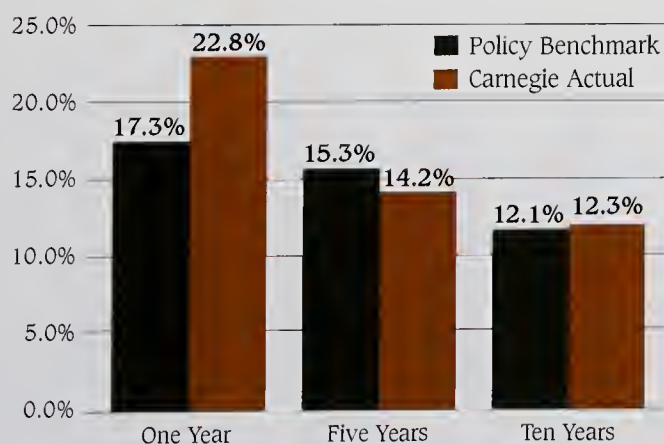
endowment and foundation universe, as reported by Cambridge Associates for the period. For the last ten years, annualized performance of 12.3 percent is also robust, outperforming the policy target benchmark of 12.1 percent. The Corporation's investments reached a record market value of \$1.701 billion, up substantially from \$1.436 billion a year ago and \$.912 billion ten years ago, generating annual compound growth of 6.4 percent net of spending over the decade.

Report on Investments

The Corporation's investment objective is to maintain the purchasing power of its assets net of spending in order to sustain its stream of grant payments in real (inflation-adjusted) dollars in perpetuity. To improve the probability of meeting this objective, the Corporation maintains approximately 80 percent of its investment portfolio in equity and equity-like assets

and approximately 20 percent in fixed income securities. The Corporation also maintains a highly diversified portfolio, limiting its exposure to any one market or strategy. Finally, the Corporation invests in nontraditional asset classes, including private equity, real estate, and absolute return, which are less efficient markets and afford active managers greater ability to add value. The policy target and actual asset allocation as of September 30, 1999, is shown below.

**CARNEGIE VS.
BENCHMARK PERFORMANCE COMPARISON**



Asset Class	Policy Target	
	Allocation	Actual Allocation
U.S. equity	30.0%	32.1%
Non-U.S. equity	17.5%	16.7%
Absolute return	12.5%	9.8%
Private equity	10.0%	9.6%
Real estate	10.0%	11.4%
Fixed Income	18.5%	18.6%
Cash	1.5%	1.7%

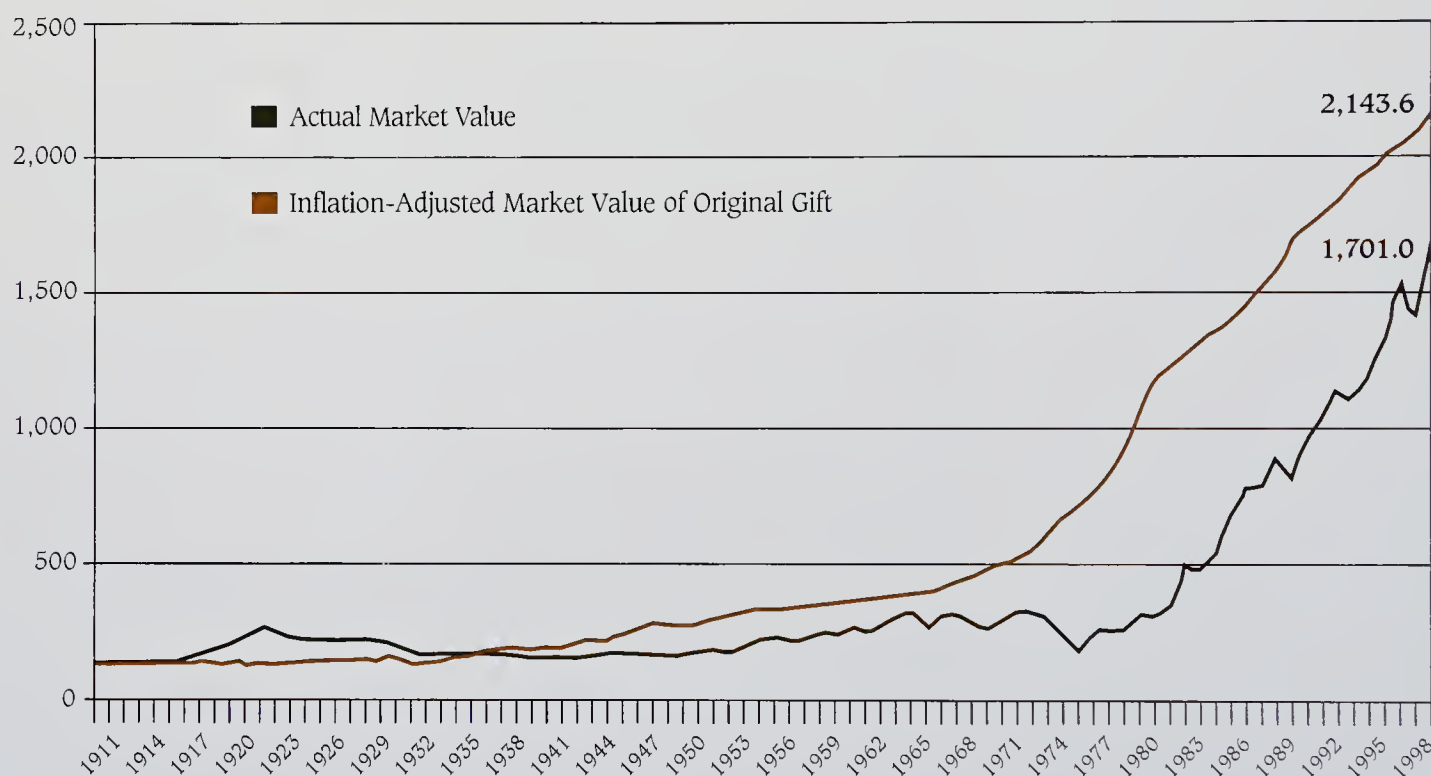
The capital markets have been extremely healthy during the past decade, but may not always be so. The Corporation's highly diversified asset base should provide protection during market downturns while doing well during periods of strong market performance due to the significant equity bias of the portfolio.

The Corporation has done a good job of maintaining the purchasing power of its assets over the last fifty years. For example, total assets of \$173.0 million as of September 30, 1949, adjusted annually for inflation over a fifty-year period, would grow to over \$1.2 billion today, compared to the Corporation's actual

market value of \$1.7 billion as of September 30, 1999. Because the portfolio's annual compounded growth rate of 4.7 percent over the last fifty years exceeded the 4.0 percent growth rate of inflation, the Corporation has an additional \$500 million in nominal dollars that generates an additional \$25 million annually in grants. Earlier on, however, the Corporation did not fare as well. Had the Corporation maintained the purchasing power of Andrew Carnegie's original gift of \$125 million in 1911, assets today would be in excess of \$2.1 billion.

(Market Value in millions)

**DESPITE STRONG RECENT PERFORMANCE,
THE CORPORATION HAS NOT MAINTAINED PURCHASING POWER**



Two decisions implemented during the fiscal year highlight the importance of the Corporation's stewardship of its assets. First, the Corporation created an investment committee for Trustees, distinct from the planning and finance committee, to oversee investment policy. The investment committee was established in October, 1998. Second, as of January 1, 1999, the Corporation established the position of vice presi-

dent and chief investment officer, to be responsible for implementing the policy decisions of the investment committee and the day-to-day management of the portfolio. As of year-end, the investment staff totals three professionals.

D. Ellen Shuman

VICE PRESIDENT AND CHIEF INVESTMENT OFFICER

APPROPRIATIONS AND EXPENSES

For the ten years ended September 30, 1999, the Corporation awarded 2,700 grants totaling \$508.6 million. It incurred expenses of \$113.1 million for direct charitable activities and administration expenses, excluding investment expenses, and \$20.8 million for taxes, for a total of \$642.5 million, or 37 percent of the Corporation's market value of \$1.701 billion as of September 30, 1999.

The graph below illustrates the growth in expenses by category over the ten-year period ended September 30, 1999.

Each year the trustees appropriate funds to be used for grants and for projects administered by the officers. Many of the grants involve multiyear commitments. In the fiscal year

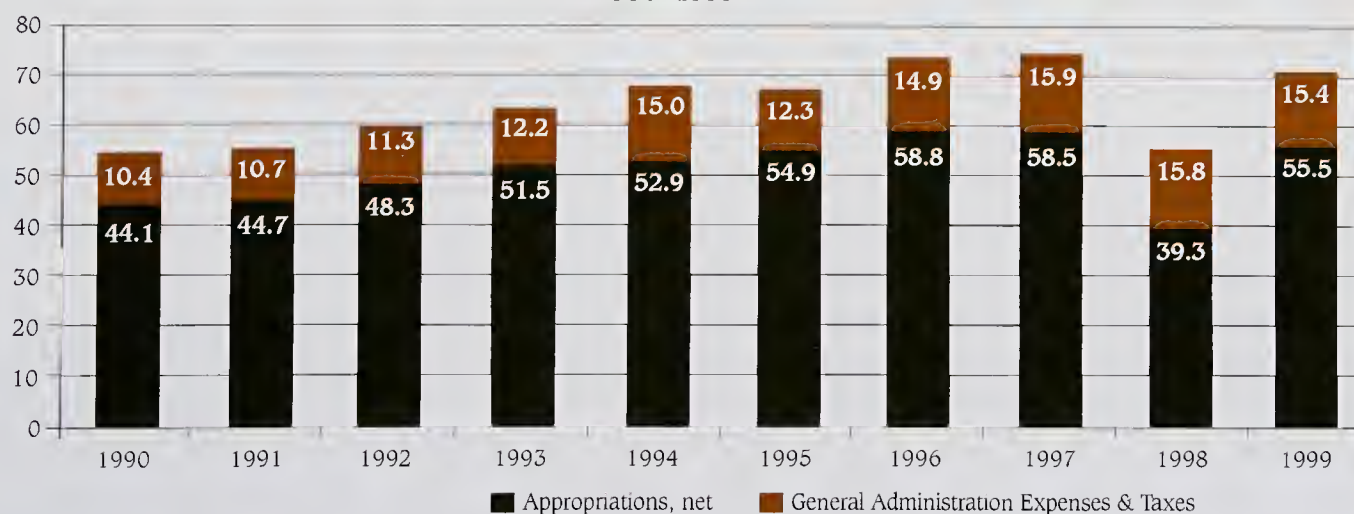
ended September 30, 1999, 58 percent of the appropriated funds were paid within the fiscal year. Appropriations, net of refunds and cancellations, totaled \$55.5 million, compared to \$39.3 million in the preceding year.

The general administration and program management expenses were \$9.6 million in the fiscal year ended September 30, 1999, compared with \$9.5 million in the previous fiscal year. Amounts spent for direct charitable activities were \$1.7 million in 1999, compared to \$2 million in 1998. Direct charitable activities are services provided directly to other exempt organizations, governmental bodies, and the general public. Such services include providing technical assistance to grantees and potential grantees, conducting educational conferences and

Financial Highlights

**EXPENSES BY CATEGORY
1990-1999**

(\$'s in millions)



	General administration and program management	Investment	Direct charitable activities	Total
Salaries	\$4,536,000	\$ 242,946	\$ 727,538	\$ 5,506,484
Investment advisory and custody fees	—	4,722,353	—	4,722,353
Employee benefits	1,801,453	93,505	280,154	2,175,112
Rent	1,008,287	55,561	157,281	1,221,129
Quarterly and annual reports	144,568	—	442,474	587,042
Office expenses	343,895	18,950	53,643	416,488
Travel	349,962	16,135	13,925	380,022
Conferences and meetings	312,776	5,414	5,842	324,032
Legal and accounting services	133,854	134,921	—	268,775
Amortization and depreciation	263,382	—	—	263,382
Consultants	234,381	—	—	234,381
Trustees' honoraria and expenses	135,594	7,125	—	142,719
Computer equipment and services	77,500	4,271	12,089	93,860
Other	221,736	9,075	25,941	256,752
TOTAL	\$9,563,388	\$5,310,256	\$1,718,887	\$16,592,531*

*In 1998, total expenses, excluding appropriations and taxes, were \$15.9 million, which included \$4.4 million of investment expenses and \$2 million of direct charitable activities expenses.

research, publishing and disseminating educational materials, and serving on boards of other charitable organizations or public commissions.

The schedule above breaks down total expenses, excluding appropriations and taxes, for the year ended September 30, 1999, into categories.

unrelated business income of \$1.3 million from certain investment partnership activities. Taxes of \$.5 million on this income are calculated using applicable corporate tax rates. The deferred tax liability represents the potential tax (at 2 percent) on gains as yet unrealized, as well as book to tax timing difference.

TAXES

Under the provisions of the Tax Reform Act of 1969, Carnegie Corporation as a private foundation is subject to a federal excise tax of 2 percent on income and realized capital gains. However, under the Tax Reform Act of 1984, the rate is reduced to 1 percent if the foundation maintains its average expense rate of the previous five years and, in addition, spends the tax savings. The Corporation did not meet the requirements for the reduced tax rate for both 1999 and 1998. Excise tax expense for the year was \$3.5 million. During 1999, the Corporation had

AUDIT BY INDEPENDENT ACCOUNTANTS

The bylaws provide that the Corporation's accounts are to be audited each year by an independent public accountant. Accordingly, the firm of KPMG LLP audited the Corporation's financial statements for the fiscal year ended September 30, 1999. The Corporation's financial statements, together with the independent auditors' report, appear on the following pages.

Robert Soman

DIRECTOR OF FINANCE

INDEPENDENT AUDITORS' REPORT

The Board of Trustees
Carnegie Corporation of New York:

We have audited the accompanying balance sheets of Carnegie Corporation of New York as of September 30, 1999 and 1998, and the related statements of changes in unrestricted net assets and cash flows for the years then ended. These financial statements are the responsibility of the Corporation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Carnegie Corporation of New York as of September 30, 1999 and 1998, and the changes in its net assets and its cash flows for the years then ended in conformity with generally accepted accounting principles.

KPMG LLP

KPMG LLP
New York, New York

December 9, 1999

BALANCE SHEETS

September 30, 1999 and 1998

	1999	1998
Assets		
Cash	\$ 131,741	\$ 1,540,616
Investments — note 3	1,701,219,511	1,436,361,797
Accrued investment income	3,519,693	3,023,042
Prepaid expenses and other assets	125,318	71,707
Fixed assets — note 4	531,268	678,698
Total assets	<u>\$1,705,527,531</u>	<u>\$1,441,675,860</u>
Liabilities and net assets		
Liabilities		
Grants payable	\$ 25,406,100	\$ 19,255,500
Accounts payable and other liabilities	7,766,495	2,113,858
Taxes payable, net — note 5	86,417	8,970
Deferred taxes payable — note 5	3,848,890	8,462
Total liabilities	<u>37,107,902</u>	<u>21,386,790</u>
Net assets		
Unrestricted	1,533,082,761	1,284,952,202
Permanently restricted (no change)	135,336,868	135,336,868
Total net assets	<u>1,668,419,629</u>	<u>1,420,289,070</u>
Total liabilities and net assets	<u>\$1,705,527,531</u>	<u>\$1,441,675,860</u>

See accompanying notes to financial statements.

STATEMENTS OF CHANGES IN UNRESTRICTED NET ASSETS

for the years ended September 30, 1999 and 1998

	1999	1998
Investment income		
Interest and dividends	\$ 39,039,836	\$ 40,792,860
Income from partnerships, net	29,059,768	24,025,042
Net realized gain on investment transactions	<u>111,667,610</u>	<u>125,153,435</u>
Total realized investment income	179,767,214	189,971,337
Less investment expenses	<u>5,310,256</u>	<u>4,378,051</u>
Net realized investment income	<u>174,456,958</u>	<u>185,593,286</u>
Expenses		
Grant appropriations, net	51,548,953	34,474,784
Appropriations for projects administered by officers, net	3,984,879	4,864,702
General administration, program management, and direct charitable activities	11,282,275	11,523,954
Provision for taxes, net — note 5	<u>4,074,808</u>	<u>4,278,865</u>
Total expenses	<u>70,890,915</u>	<u>55,142,305</u>
Excess of net realized investment income over expenses	103,566,043	130,450,981
Increase (decrease) in unrealized appreciation of investments, net of related deferred federal excise tax (credit) of \$2,950,296 in 1999 and \$(4,541,321) in 1998 — note 5	<u>144,564,516</u>	<u>(222,524,760)</u>
Increase (decrease) in unrestricted net assets	248,130,559	(92,073,779)
Unrestricted net assets, beginning of year	<u>1,284,952,202</u>	<u>1,377,025,981</u>
Unrestricted net assets, end of year	<u><u>\$1,533,082,761</u></u>	<u><u>\$1,284,952,202</u></u>

See accompanying notes to financial statements.

STATEMENTS OF CASH FLOWS

for the years ended September 30, 1999 and 1998

	1999	1998
Cash flows from operating activities:		
Change in net assets	\$ 248,130,559	\$ (92,073,779)
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Change in unrealized appreciation of investments	(147,514,812)	227,066,081
Net realized gain on investment transactions	(111,667,610)	(125,153,435)
Depreciation and amortization	263,382	592,174
Deferred federal excise tax provision	3,840,428	(4,323,817)
Total adjustments	(255,078,612)	98,181,003
Change in accrued investment income, and prepaid expenses and other assets	(550,262)	2,729,574
Change in grants payable, accounts payable and other liabilities, and taxes payable	11,880,684	(5,298,322)
Net cash provided by operating activities	4,382,369	5,538,476
Cash flows from investing activities:		
Proceeds from sales or redemptions of investments	2,503,525,297	1,898,360,699
Purchases of investments	(2,509,200,589)	(1,900,396,566)
Purchases of fixed assets	(115,952)	(90,720)
Net cash used in investing activities	(5,791,244)	(2,126,587)
Change in cash	(1,408,875)	1,411,889
Cash, beginning of year	1,540,616	128,727
Cash, end of year	<u>\$ 131,741</u>	<u>\$ 1,540,616</u>

See accompanying notes to financial statements.

NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1999 and 1998

(1) Organization:

Carnegie Corporation of New York is a philanthropic foundation that was created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding. The Corporation has a policy of selecting a few areas at a time in which to concentrate its grants.

(2) Summary of significant accounting policies:

The accompanying financial statements have been prepared on the accrual basis of accounting.

Fixed assets are stated at cost. Depreciation is calculated on a straight-line basis over the estimated lives of the related assets. Leasehold improvements are amortized over the remaining life of the lease.

For purposes of the statements of cash flows, cash includes all uninvested cash of the Corporation.

The resources of the Corporation consist of permanently restricted and unrestricted net assets. Permanently restricted net assets represent the original sums received from Andrew Carnegie who, by the terms of the conveying instrument, stipulated that the principal may never be expended.

The fair value of investments has been determined as indicated in note 3. The carrying amount of cash, accrued investment income, prepaid expenses

and other assets, grants payable, and accounts payable and other liabilities, approximates fair value because of the short maturity of these financial instruments.

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

(3) Investments:

Readily marketable investments are reported on the basis of quoted market prices. Limited partnerships and similar interests are reported at fair value based on financial statements and other information received from the partnerships. The general partner determines the fair value of securities using quoted market prices, if available, or using other valuation methods, including independent appraisals. Investments in limited partnerships and similar interests totaled \$582,194,592 at September 30, 1999 and \$520,491,306 at September 30, 1998.

Investments are composed of the following at September 30, 1999 and 1998:

	September 30, 1999		September 30, 1998	
	Cost	Market/Fair Value	Cost	Market/Fair Value
Equities	\$ 772,722,957	\$ 847,976,702	\$ 757,954,302	\$ 736,853,570
Fixed income	341,169,250	325,279,532	334,105,209	340,954,465
Real estate	193,563,705	193,657,303	137,229,004	140,610,590
Absolute return	160,784,289	167,660,934	152,118,541	149,839,235
Private equity	81,231,639	163,796,585	53,693,028	68,406,075
Due to brokers, net	2,864,040	2,848,455	(107,106)	(302,138)
Total	<u>\$1,552,335,880</u>	<u>\$1,701,219,511</u>	<u>\$1,434,992,978</u>	<u>\$1,436,361,797</u>

NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1999 and 1998

As a result of its investing strategies, the Corporation is a party to off-balance-sheet index futures contracts. The Corporation's investment advisors use index future contracts to manage both short-term asset allocation and the duration of the fixed income portfolio. Changes in the market value of these futures contracts are recognized currently in the statement of changes in unrestricted net assets, using the marked-to-market method. However, off-balance-sheet index futures contracts involve, to varying degrees, ele-

ments of market risk and credit risk in excess of the amounts recorded on the balance sheet. Market risk represents the potential loss the Corporation faces due to the decrease in the value of the off-balance-sheet financial instruments. Credit risk represents the potential loss the Corporation faces due to the inability of counterparties to meet the terms of their contracts.

The table below summarizes the long and short exchange-traded financial futures positions at September 30, 1999, and September 30, 1998:

	September 30, 1999		September 30, 1998	
	Net number of contracts- long/(short)	Contract value (in \$ millions)	Net number of contracts- long/(short)	Contract value (in \$ millions)
<u>Index futures contracts</u>				
Non-U.S. equity				
Long	—	\$ —	69	\$ 4.0
Short	—	—	(34)	(2.6)
30-year Treasury bond	131	14.9	119	15.6
10-year Treasury note	(308)	(33.9)	(148)	(18.0)
5-year Treasury note	—	—	(144)	(16.6)
2-year Treasury note	100	20.8	—	—
Municipal bond	—	—	48	6.2

The margin requirements on deposit with third-party safekeeping banks for index futures contracts were approximately \$.7 million at September 30, 1999, and \$1.2 million at September 30, 1998.

The partnerships in which the Corporation invests may also hold index futures and options. These positions are not included in the table above.

The Corporation permits its investment managers to use forward foreign exchange contracts to manage the currency risk inherent in owning securities denominated in foreign currencies. In a forward foreign

currency transaction, the Corporation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate. At September 30, 1999, the Corporation held forward currency buy contracts and sell contracts with notional amounts totaling \$11 million each. At September 30, 1998, the Corporation held forward currency buy contracts and sell contracts with notional amounts totaling \$10 million and \$13 million, respectively. Such contracts involve, to varying degrees, risks of loss arising either from the potential change in market prices or from the possible inability of counterparties to meet the terms of their contracts. Changes in the value of forward foreign

NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1999 and 1998

currency contracts are recognized as unrealized gains or losses until such contracts are closed.

The Corporation's investment advisors monitor the financial condition of the firms used for futures and forward foreign currency trading in order to minimize the risk of loss. Exposure limits are placed on firms relative to their credit worthiness. Management does not anticipate that losses, if any, resulting from credit or market risk would materially affect the financial statements.

At September 30, 1998, the Corporation used a market neutral strategy whereby it purchases long and sells short equities for approximately equal amounts. Equities owned in the market neutral strategy are recorded net in the Corporation's financial statements. At September 30, 1998, U.S. equities sold but not yet purchased totaled \$37.7 million. Required cash collateral for the short sales is held by the broker and required collateral in the form of equities is pledged to the broker and held by a third-party safekeeping bank.

(4) Fixed assets:

Fixed assets are composed of the following at September 30, 1999 and 1998:

	1999	1998
Leasehold		
improvements	\$3,871,650	\$3,871,650
Furniture and		
equipment	<u>2,892,697</u>	<u>2,776,745</u>
	6,764,347	6,648,395
Less: Accumulated		
amortization and		
depreciation	<u>(6,233,079)</u>	<u>(5,969,697)</u>
Total	<u>\$ 531,268</u>	<u>\$ 678,698</u>

(5) Taxes:

The Corporation is liable for federal excise taxes of two percent of its net investment income, as defined, which includes realized capital gains, for the year. However, this tax is reduced to one percent if certain conditions are met. The Corporation did not meet the requirements for the reduced tax for both 1999 and 1998. Therefore, current taxes are estimated at two percent of net investment income, as defined, for 1999 and 1998.

Deferred taxes represent two percent of unrealized appreciation of investments at September 30, 1999 and 1998, as qualification for the one percent tax is not determinable until the fiscal year in which gains are realized.

During 1999, the Corporation had unrelated business income of \$1,278,600 from certain investment partnership activities. Taxes of \$549,000 on this income are calculated using applicable corporate tax rates and are included in the provision for taxes.

The Corporation paid estimated federal excise taxes of \$2,625,000 in 1999 and \$3,725,000 in 1998. The Corporation also paid estimated federal unrelated business income taxes of \$375,000 in 1999 and \$235,000 in 1998.

(6) Benefit plans:

The Corporation purchases annuities for qualifying employees under the terms of a noncontributory, defined contribution retirement plan with Teachers Insurance and Annuity Association and College Retirement Equities Fund. Retirement plan expense for the years ended September 30, 1999 and 1998, was \$839,090 and \$847,180, respectively.

NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1999 and 1998

In addition, the Corporation has a noncontributory defined benefit annuity plan to supplement the basic plan described above. This plan is also administered by Teachers Insurance and Annuity Association and College Retirement Equities Fund. Contributions to this plan are based on actuarial calculations. No contribution was required in 1999 or 1998. At December 31, 1998, the assets of the plan exceeded the actuarial present value of accumulated plan benefits by approximately \$1,011,000.

In addition, the Corporation provides certain medical benefits to its retirees. The cost of providing these benefits was \$89,614 in 1999 and \$85,890 in 1998, on a pay-as-you-go basis.

(7) Lease:

The Corporation occupies office space at 437 Madison Avenue under two lease agreements. One lease expires December 31, 2003. The second lease expires on February 28, 2001.

The following is a schedule of the future minimum lease payments at September 30, 1999.

<u>Fiscal year ending September 30</u>	
2000	1,233,000
2001	1,267,000
2002	1,254,000
2003	1,254,000
2004	314,000
	<u>\$5,322,000</u>

Rental expense for 1999 and 1998, including escalations, was \$1,247,898 and \$656,411, respectively. Rent for 1998 is net of free rent and work contributions totaling \$775,500 under a new lease agreement that began in January 1998.

CARNEGIE CORPORATION OF NEW YORK

Report
of the
Secretary

F

or Carnegie Corporation's board of trustees, the 1998-99 fiscal year was one of changes. In addition to setting the new program directions announced in the fall of 1998, the board developed a number of governance procedures that would enhance the running of the Corporation. With respect to governance, the board put into place a new committee structure established at the October 8, 1998, board meeting. While the entire board serves as the Corporation's program committee, trustees began participating as well in smaller subcommittees and, by meeting frequently with staff to discuss recommended grants and program goals, became more active in grantmaking strategies. (A list of the committees and committee members may be found on p. 97.)

The year was also devoted to implementing the new program directions discussed by the board at its June and October 1998 meetings and announced to the public in the fall of 1998. Strategy sessions with leading experts and practitioners in the Corporation's former and current fields of interest were convened, and program officers, having researched new opportunities, presented to the board strategies for bringing both analysis and practical application to their visions. (An in-depth description of the new programs begins on p. 25.)

BOARD COMMITTEE STRUCTURE

The board held elections at the annual meeting on February 2, 1999, for one-year terms on the newly established committees. Elected to serve on the planning and finance committee were James A. Johnson, Helene L. Kaplan, Vincent A. Mai, and Henry Muller. Mr. Johnson was elected by the committee members to serve as chair. Elected to the investment management committee for one-year terms were Mr. Mai, Mr. Johnson, Mrs. Kaplan, and Martin L. Leibowitz. The committee members elected Mr. Mai to serve as chair.

The third standing committee of the board under this new structure is the committee on trustees, wherein members are nominated by the chairman and elected by the board annually. Mr. Muller, Mr. Mai, Teresa Heinz, Dr. James J. Renier, and Dr. Marta Tienda served on this

committee with Mr. Muller serving as the chair. The chairman of the board, Governor Thomas H. Kean, and the Corporation's president, Vartan Gregorian, serve on all standing committees *ex officio*.

A number of prominent leaders joined the board in 1999, and one was re-elected to serve another term. At the annual meeting, which did not see any trustees ending their service, Judy Woodruff was re-elected to a second four-year term.

Three new trustees were elected during the year

Corporate Update

to fill existing vacancies on the board: Raymond W. Smith, Admiral William A. Owens, and Dr. Ruth J. Simmons. Their elections brought the board up to its full membership despite the loss of five members in January 1998. Changes in the constitution and bylaws will result in a more orderly rotation of trustee terms in the future.

All three of the new board members offer a cutting-edge perspective on the issues at the top of the Corporation's agenda.

Mr. Smith is currently chairman of Rothschild North America, Inc. He is a leader in the telecommunications industry and has been on the forefront of the information revolution currently transforming business and education. During ten years as a top corporate officer of Bell Atlantic, Smith refashioned the company from its roots as a regional telephone operation into the largest local telecommunications firm in the country. He was instrumental in merging Bell Atlantic and NYNEX. Smith serves on advisory boards to Congress and the Library of Congress on science and education issues as well as on a number of corporate and nonprofit boards.

Dr. Simmons is president of Smith College, a leading liberal arts institution for women with a long history of academic excellence. A well-respected educator, Simmons took over Smith's presidency after serving as Princeton University's vice provost, Spelman College's provost, and as an associate dean at both Princeton and the University of Southern California. A scholar in the romance languages, Simmons is also recognized widely as an effective leader of young women. She is active on numerous education boards and committees.

Admiral Owens is co-chief executive officer and vice chairman of Teledesic LLC, which is building a global, broadband Internet-in-the-Sky satellite communications network. A leader in technology development, Owens was formerly president and chief operating officer of Science Applications International

Corporation. Owens, an admiral, rose to the top ranks of the Navy during his military service, serving as the nation's second-ranking military officer and specializing in both national security and technological issues. He was vice chairman of the Joint Chiefs of Staff and is well known for restructuring the armed forces in the post-Cold War era. A graduate of the U.S. Naval Academy, Owens received his B.S. in mathematics, and holds Masters degrees in politics, philosophy, economics, and management.

During the 1998-99 fiscal year, the board of trustees met on October 8, 1998, and on February 2, April 8, and June 10, 1999.

MILESTONES

Changes to the Corporation's constitution and bylaws approved at the October 1998 meeting specified two vice presidential positions and made provision for the creation of further such positions, as necessary. In 1999 the board approved the addition of two vice presidential positions and filled them immediately.

Neil R. Grabois was appointed vice president and director for strategic planning and program coordination, effective June 15, 1999. Most recently the president of Colgate University, Grabois has held top management positions in the academic community. He was provost of Williams College as well as dean of the college, dean of the faculty, and chair of the Department of Mathematical Sciences. Grabois has served in numerous educational advancement organizations including the Association of American Colleges and the Middle States Association of Colleges and Schools. He is a mathematician by discipline and a man of unlimited curiosity schooled in common sense decision making.

Susan Robinson King was appointed vice president for public affairs, effective immediately, on October 14, 1999. A journalist for more than 20 years, King joined the Corporation in August from the Department of Labor where she was assistant secretary for public affairs, a presidential appointment confirmed by the Senate. Over the twenty years of her broadcasting

career in Washington, she was a White House correspondent, a political reporter, and anchor on local television. She won many awards for her reporting, including Emmies and the National Women's Political Caucus Reporting Award, and is most known for her ability to translate difficult issues, politics, and diplomatic questions into easily understood stories.

Joining the Corporation to staff new areas of grantmaking were Stephen J. Del Rosso, Jr., and Michelle Cahill.

Stephen J. Del Rosso, Jr., joined the Corporation as senior program officer in the International Peace and Security Program to head up the Corporation's New Dimensions of Security initiative. Most recently program director at the Chicago Council on Foreign Relations, Del Rosso is recognized for his deep knowledge of international relations and his work in supporting defining foundation programs in the field. Del Rosso was a career U.S. Foreign Service Officer for almost ten years, working abroad and in the Office of the Secretary at the State Department. He worked as a program officer for five years at Pew Charitable Trusts in Philadelphia.

Michelle Cahill, a nationally recognized leader in school-community collaboration, has both developed and managed innovative programs in youth development and after-school opportunities. She founded and directed the Youth Development Institute of the Fund for the City of New York and before that was vice president and director of school and community services programs at the Academy for Educational Development. While an undergraduate working on an urban studies degree, Cahill began her career in youth development and education as a "street worker" with El Centro Catolico, a program to reengage school dropouts. Cahill joined the Corporation as a senior program officer in the Education division where she will shape its urban school reform program.

Donald M. Stewart joined the Corporation for a year to help shape its work in higher education. On sabbatical from the College Board, where he served as president for twelve years, Stewart is also a former college president, leading Spelman College for ten years

in the 1980s. He held a number of leadership positions at the University of Pennsylvania before becoming president of Spelman, including associate dean of Arts and Sciences and director of the College of General Studies. Stewart is a graduate of Grinnell College, a 1962 Woodrow Wilson Fellow at Yale and, since 1998, an adjunct lecturer at the John F. Kennedy School of Government. He serves on a number of boards, including the New York Times Company. Stewart is a leading expert on higher education, testing, and equality and will join the Chicago Community Trust at the end of his year at Carnegie.

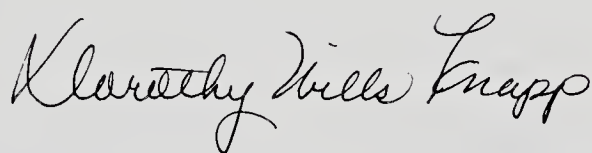
The year witnessed the departure and retirement of four long-term staff members. Jean Grisi, treasurer, and Cynthia E. Merritt, associate corporate secretary, left to assume positions at other institutions after having served in key positions in the administration of the Corporation for more than fourteen and twelve years, respectively. Yolonda C. Richardson, program officer in the Strengthening Human Resources in Developing Countries program since 1989, left the Corporation in January 1999 to assume the position of senior vice president of Africare in Washington, D.C.

Avery Russell, who held the positions of director of publications, program officer, and, most recently, director of public affairs, became special advisor to the president in October after twenty-nine years of service. The board expressed its appreciation to her by passing an official minute, which said, in part, "You gave voice to the Corporation's aspirations, ensured the clarity and accuracy of its messages, and guaranteed the integrity of its public information."

CORPORATION PUBLICATIONS AND DISSEMINATION

The public affairs office had a busy year in 1998–99, issuing the annual report, regular Corporation news reports, and numerous special press releases associated with new program directions and staff appointments. It also assumed a leading role in announcing the Carnegie Commemorative Grants to Urban Public Libraries (reported on p. 57).

Susan King's appointment in October as vice president for public affairs signals the Corporation's heightened attention to the role of dissemination in strategic grantmaking. The public affairs office will be a co-equal partner with program staff members in fulfilling Andrew Carnegie's charge to advance and diffuse knowledge and understanding among the people of the United States. In future annual reports, that new role will be reflected in a report separate from the Corporate Update prepared by the corporate secretary.



Secretary

Guidelines for Grantseekers

Carnegie Corporation of New York was created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding. The last of Carnegie's great endowments, it is the only one established as a grant-making foundation.

Under Carnegie's will, Corporation grants must benefit the people of the United States, although up to 7.4 percent of the funds may be used to benefit the people of some countries that are or have been members of the British overseas Commonwealth as of 1948.

The Corporation currently has four major programs: Education, International Peace and Security, International Development, and Democracy. Special Projects is reserved for grants made outside the regular program areas. To obtain more information, see p. 108.

HOW TO APPLY FOR A GRANT

The Corporation accepts requests for funding at all times of the year. There are no application forms or deadlines. The staff tries to respond to grantseekers within four months of the receipt of a request.

Grantseekers are asked to submit a brief letter of inquiry or concept paper that clearly and concisely describes the project's aims, its significance, its duration and the amount of funds required. The document should not exceed five pages. At a later date,

grantseekers may be asked to submit a full proposal and additional materials. A request to submit a full proposal is not an indication of the Corporation's intention or commitment to award a grant.

A request for funds will be reviewed in light of its relation to the Corporation's current program priorities.

Finally, grantseekers are asked to keep the following seven points in mind when preparing a letter of inquiry or concept paper. These indicate the types of concerns program staff members have when reviewing requests:

- ▶ What problem does your project address? Why is this issue significant? What is the relationship of the problem/issue to the Corporation's program, as outlined in the preceding program descriptions?
- ▶ Who will lead the project? Identify key personnel.
- ▶ What do you intend to demonstrate or prove? What means will you use? If the project is already under way, what have you accomplished so far?
- ▶ What outcomes do you expect for the project, both immediate and long term?
- ▶ What strengths and skills do the organization and personnel bring to this project? What makes this organization the right one to conduct this project?
- ▶ What is the overall cost of the project? How much are you requesting from Carnegie Corporation over how long a period? What other sources of support are you pursuing for this project?
- ▶ What plans do you have to disseminate information to the public about your project?



GENERAL RESTRICTIONS

Carnegie Corporation does not make grants for construction or maintenance of facilities or endowments. The Corporation does not generally make grants to individuals except through its fellowship program, which supports the work of select scholars and experts conducting research in the foundation's fields of interest. The Corporation usually considers only those projects that have the potential for widespread national or international impact. It does not generally make grants to local or regional community service organizations.

In addition to these general restrictions, there are, other than those indicated in the program statement, specific criteria for the acceptance of proposals pertaining to three of the program areas.

Education: The foundation does not review requests from individual schools or preschools.

International Peace and Security: With some exceptions, grants made in this program are to U.S. institutions. No curriculum projects within individual schools or colleges are supported. Proposals for media-related grants are only occasionally supported.

International Development: Geographic focus is restricted to African countries that are or have been members of the British Commonwealth as of 1948.

Trustees 1999–2000*

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President, Drew University

Mead Hall

Madison, New Jersey 07940

Helene L. Kaplan, Vice Chairman

Of Counsel, Skadden, Arps, Slate, Meagher & Flom

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President, Carnegie Corporation of New York

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New York, New York 10022

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Chairman and Chief Executive Officer

Heinz Family Philanthropies

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Vice Chairman and Chief Investment Officer

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United Nations

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Co-Chief Executive Officer and Vice Chairman

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Chairman

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Cable News Network
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*1545 Eighteenth Street, NW
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Thomas H. Kean (*ex officio*)

Vincent A. Mai

Olara A. Otunnu

Marta Tienda

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Jen Kiernan, *Administrative Assistant*

Mary Lou Sandwick, *Administrative Assistant*

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Evelyn Nieders, *Executive Assistant*

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Michele Cahill, *Senior Program Officer*

Karin P. Egan, *Program Officer*

Susan V. Smith, *Program Associate*

Bernadette Michel, *Program Assistant*

Nidia Marti, *Executive Assistant*

Sara K. Wolpert, *Executive Assistant*

Ellen Chege, *Administrative Assistant*

Lucy A. Carsen, *Secretary*

Valerie Vitale, *Secretary*

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Patricia M. Nicholas, *Program Assistant*

Patricia Aquino-Macri, *Executive Assistant*

Lynn DiMartino, *Executive Assistant*

Deborah Cohen, *Administrative Assistant*

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Narciso Matos, *Senior Program Officer*

O. Akin Adubifa, *Program Officer*

Andrea L. Johnson, *Program Associate*

Ruth Nolan, *Executive Assistant*

* Through February 1, 2000

Staff members who have more than one responsibility
are listed only once

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Hedy A. Charney, *Executive Assistant*

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Eleanor Lerman, *Director of Publications*

Aimée L. Sisco, *Editorial Associate*

Elana R. Stern, *Public Affairs Associate*

Lawrence Levine, *Publications Clerk*

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Dorothy Wills Knapp, *Corporate Secretary*²

Armanda Famiglietti, *Associate Corporate Secretary, Director of Grants Management*

Gladys D. McQueen, *Information Acquisitions Specialist*

Sonali Mukerjee, *Administrative Assistant*

Kathleen Whittemore, *Administrative Assistant*

Jessie L. Green, *Records Assistant*

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Denise A. Clare, *Senior Investment Accountant*

Jean Roger Laraque, *Accountant*

Joyce Fortunato, *Administrative Assistant*²

Svetlana Shenker, *Accounting Assistant*

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Rose Marie Chin, *Receptionist/Switchboard Operator*

José A. Rivera, *Mailroom/Supply Clerk*

Richard Brown, *Mailroom Clerk*

LIBRARY

Ronald J. Sexton, *Librarian*

COMPUTER SERVICES

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Anne McKissick, *Information Systems Analyst*

HUMAN RESOURCES

Idalia Holder, *Director of Human Resources*

Loretta Graff, *Human Resources Associate*

Gilda Swift, *Executive Assistant*

¹ Appointment as Corporate Secretary to begin February 5, 2000

² Through February 4, 2000

INVESTMENTS

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Investment Officer*

Meredith Bradley Jenkins, *Investment Associate*

David Dion Edwards, *Financial Analyst*

Ariane Leung, *Administrative Assistant*

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David A. Hamburg, *President Emeritus*

Karen Ballentine, *Research Associate*

Rosalind A. Rosenberg, *Research Associate*

Ekua Annan, *Administrative Assistant*

For the past twenty-nine years, Avery Russell has guided the publication of Carnegie Corporation's annual report with intelligence and integrity. On the occasion of her retirement from public affairs in October 1999, the trustees expressed appreciation for her years of service. "You gave voice to the Corporation's aspirations," they said, "ensured the clarity and accuracy of its messages and guaranteed the integrity of its public information." This annual report, representing the Corporation's endeavors at the close of the century, reflects the very best she has always brought to her work and is dedicated to her.

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The Carnegie Philanthropies

Andrew Carnegie was born in Scotland in 1835. He came to the United States with his family in 1848 and went to work as a bobbin boy in a cotton mill. After a succession of jobs with Western Union and the Pennsylvania Railroad, he eventually resigned to establish his own business enterprises and, finally, the Carnegie Steel Company, which launched the huge steel industry in Pittsburgh. At the age of 65, he sold the company and devoted the rest of his life to writing, including his autobiography, and to philanthropic activities, intending to give away \$300 million. He gave away \$311 million.

Gifts to hundreds of communities in the English-speaking world helped to make his idea of the free public library as the people's university a reality. In all, 2,509 libraries were built with Carnegie funds. His endowment of the Carnegie Institute in Pittsburgh brought important educational and cultural benefits to the community in which he made his fortune. From experience he knew the importance of science applied to commerce and industry, and he provided for technical training through the Carnegie Institute of Technology. By establishing the Carnegie Institution of Washington, he helped to stimulate the growth of knowledge through providing facilities for basic research in science.

Mr. Carnegie set up the Carnegie Trust for the Universities of Scotland to assist needy students and to promote research in science, medicine, and the humanities. For the betterment of social conditions in his native town of Dunfermline, Scotland, he set up the Carnegie Dunfermline Trust. To improve the well-being of the people of Great Britain and Ireland, he established the Carnegie United Kingdom Trust.

In the United States, he created The Carnegie Foundation for the Advancement of Teaching primarily as a pension fund for college teachers and also to promote the cause of higher education. To work for the abolition of war, he established the Carnegie Endowment for International Peace. To recognize heroism in the peaceful walks of life as being as worthy as valor in battle, he created funds in the United States, the United Kingdom, and nine European countries to make awards for acts of heroism. In contributing to the construction of the Peace Palace at The Hague, the Pan American Union Building in Washington, and the Central American Court of Justice in Costa Rica, he further expressed his belief in arbitration and conciliation as substitutes for war.

In 1911, having worked steadily at his task of giving away one of the world's great fortunes, Mr. Carnegie created Carnegie Corporation of New York, a separate foundation as large as all his other trusts combined.

Each of the Carnegie agencies has its own funds and trustees and each is independently managed.

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